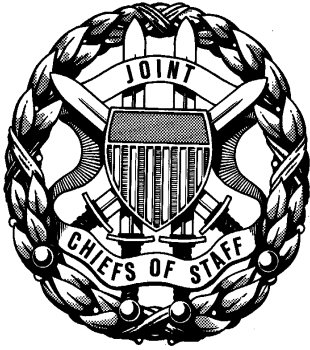


REVISED DRAFT



CHAIRMAN OF THE JOINT CHIEFS OF STAFF MANUAL

DOM/SJS
DISTRIBUTION: A, C, J, S

CJCSM 5760.01, Vol I
1 February 2003

JOINT STAFF AND COMBATANT COMMAND RECORDS MANAGEMENT MANUAL: VOLUME I--PROCEDURES

References: See Enclosure J.

1. Purpose. In accordance with references a through bb, this manual sets forth records management administrative instructions and procedural guidance for the Joint Staff and combatant commands.
2. Cancellation. JSI 5760.02, 28 February 1994, is canceled.
3. Applicability. This manual applies to:
 - a. All Joint Staff directorates, separate offices, activities, and agencies responsive to the Chairman of the Joint Chiefs of Staff.
 - b. All headquarters of the combatant commands, their subordinate unified commands, joint task forces, and all other subordinate functional components or operational forces that include members of the several Services and remain immediately responsive to the combatant commanders. This excludes the Service components assigned to the combatant commands and other functional components or operational forces consisting of members of a single Service. Exception: US Special Operations Command (USSOCOM) Service components will maintain records generated as a result of Component expenditure of Major Forces Protection 11 funds separate from Service records and will control them in accordance with this manual.
 - c. All Joint Staff and combatant command records in any media, including electronic records created or stored in any automated information system, the Defense Information Services Organization Joint Information Service Center, and Joint Staff and combatant command local area networks and microcomputers.

4. Definitions. (See also glossary.) The following records management position titles are used by the Joint Staff. Recognizing that the combatant commands have their own, unique records management organizations, for purposes of consistency these terms will be used throughout this manual to refer as well to the applicable positions within the combatant commands.

a. Joint Staff Records Manager – The Chief, Records Management and Automation Support Branch, Information Management Division, Secretary to the Joint Staff; responsible for oversight of the Joint Staff and Combatant Command Records Management Program.

b. Headquarters Combatant Command Records Manager – The position designated by the combatant command commander to administer the Combatant Command Records Management Program for all records in the command including records held by subordinate joint elements as defined in paragraph 3.b. above.

c. Records Officer – The individual responsible for records management within a directorate, separate office, or other activity; designated by the Joint Staff or combatant command director or head of the separate office or other activity.

d. Files Custodian – The individual responsible for physical custody, maintenance, and disposition of records accumulated in the performance of a particular function. The directorate/separate office/activity records officer designates the files custodian in designating the office of record. Depending upon the size and complexity of the directorate/office/activity, the records officer may elect to designate more than one office of record/files custodian for the records it holds.

5. Procedures. See Enclosures A through I.

6. Summary of Changes.

a. Changes to Previous JSI. This manual:

(1) Converts the previous JSI to a CJCSM and updates records management procedures throughout the CJCSM.

(2) Separates procedural guidance from the disposition schedule, published as Volume II to this manual.

(3) Adds new enclosures on General Records Management Procedural Guidance, Electronic Recordkeeping Guidance, Crisis and Contingency Operations, Contractor Records, and Records Management Training Standards.

(4) Adds new combatant command disposition categories and revises Joint Staff disposition categories.

b. Changes to Draft CJCSM. A list of changes to the draft CJCSM 5760.01, Volume I, dated 1 October 2000, is provided below for those activities that began implementing the program while the manual was in draft form.

(1) Adds a Table of Contents.

(2) Updates Enclosure E, Electronic Recordkeeping, to conform to current National Archives and Records Administration (NARA) guidelines.

(3) Adds an appendix on filing equipment and supplies to Enclosure F, Joint Staff/Combatant Command Filing System.

(4) Revises Enclosure G, Administrative, as a comprehensive source of Administrative Instructions for Packing, Shipping, and Recalling Records.

7. Releasability. This instruction/manual/notice is approved for public release; distribution is unlimited. DOD components (to include the combatant commands), other Federal agencies, and the public may obtain copies of this instruction/manual/notice through the Internet from the CJCS Directives Home Page—<http://www.dtic.mil/doctrine>. Copies are also available through the Government Printing Office on the Joint Electronic Library CD-ROM.

8. Effective Date. This manual is effective upon receipt. Combatant commander program implementation date is 1 April 2003.

{NAME1}
{Rank1}
{Title1}

Enclosures:

A--General Records Management Procedural Guidance

B--Audiovisual Records Management

Appendix--Captions and Labels for Audiovisual Records

C--Records of Crisis and Contingency Operations

D--Vital Records

E--Electronic Recordkeeping Guidelines

Appendix A--Disposition of Joint Staff/Combatant Command Electronic Records

Annex A--Standard Form (SF) 115: "Request for Records Disposition Authority

Annex B--Sample Electronic Records System Inventory Sheet

Annex C--National Archives Form (NA) 14028: "Information System Description"

Appendix B--Transfer of Permanent Electronic Records to the National Archives

Annex A--Checklist for Transfer of Electronic Records to the National Archives

Annex B--SF 258, "Agreement to Transfer Records to the National Archives of the United States"

Annex C--NA 14097, "Technical Description for Transfer of Electronic Records to the National Archives"

Annex D--Preparing Electronic Records for Transfer

Annex E--Documentation to Accompany Electronic Records for Transfer

Appendix C--Electronic Records Standards

Appendix D--Use of Optical Disk Systems to Store Joint Staff/Combatant Command Records

Appendix E--Inventory of Joint Staff Automated Records

Appendix F--Comparison of Media for Information Storage and Retrieval

F--Joint Staff/Combatant Command Filing System

Appendix A--Files Management Checklist

Appendix B--Disposition Standards and Instructions

Annex--Abbreviations for Disposition Instructions

Appendix C--Joint Staff Form (JS) 31, "Joint Staff/Combatant Command List of Selected Files Numbers"

Appendix D--JS Form 32, "Records Management Inspection Checklist"

Appendix E--Labeling File Folders, Guide Cards, Cabinets, and Binders

Appendix F--JS Form 30, "Joint Staff/Combatant Command Records Management Survey"

Appendix G--JS Form 62, "Joint Staff Charge-Out Record"

Appendix H--Filing Equipment and Supplies

G--Administrative Instructions for Packing, Shipping, and Recalling Records

Appendix A--SF 135, "Records Transmittal and Receipt"

Annex A--SF 135A, "Records Transmittal and Receipt (Continuation)"

Annex B--Nontextual Codes for SF 135/135A, Block 6.(f), "Series Description"

Appendix B--Using a Federal Records Center Storage Box

Appendix C--Loading Skids and Pallets

Appendix D--JS Form 48, "Distribution Authorization Sheet for Inactive Storage Facility"

Appendix E--OF 11, "Reference Request--Inactive Storage Facility"

H--Contractor Records

I--Records Management Training

J--References

Glossary

Part I--Abbreviations

Part II--Definitions

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LIST OF EFFECTIVE PAGES

The following is a list of effective pages for CJCSM 5760.01, Volume I. Use this list to verify the currency and completeness of the document. An "O" indicates a page in the original document.

PAGE	CHANGE	PAGE	CHANGE
1 thru 4	0	F-A-1 thru F-A-2	0
i thru xvi	0	F-B-1 thru F-B-4	0
A-1 thru A-10	0	F-B-A-1 thru F-B-A-2	0
B-1 thru B-6	0	F-C-1 thru F-C-4	0
B-A-1 thru B-A-2	0	F-D-1 thru F-D-2	0
C-1 thru C-2	0	F-E-1 thru F-E-4	0
D-1 thru D-4	0	F-F-1 thru F-F-2	0
E-1 thru E-10	0	F-G-1 thru F-G-2	0
E-A-1 thru E-A-6	0	F-H-1 thru F-H-4	0
E-A-A-1 thru E-A-A-4	0	G-1 thru G-6	0
E-A-B-1 thru E-A-B-2	0	G-A-1 thru G-A-6	0
E-A-C-1 thru E-A-C-2	0	G-A-A-1 thru G-A-A-4	0
E-B-1 thru E-B-4	0	G-A-B-1 thru G-A-B-2	0
E-B-A-1 thru E-B-A-2	0	G-B-1 thru G-B-4	0
E-B-B-1 thru E-B-B-2	0	G-C-1 thru G-C-2	0
E-B-C-1 thru E-B-C-2	0	G-D-1 thru G-D-2	0
E-B-D-1 thru E-B-D-2	0	G-E-1 thru G-E-2	0
E-B-E-1 thru E-B-E-4	0	H-1 thru H-2	0
E-C-1 thru E-C-2	0	I-1 thru I-2	0
E-D-1 thru E-D-2	0	J-1 thru J-2	0
E-E-1 thru E-E-10	0	GL-I-1 thru GL-I-6	0
E-F-1 thru E-F-2	0	GL-II-1 thru GL-II-40	0
F-1 thru F-14	0		

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RECORD OF CHANGES

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TABLE OF CONTENTS

PART	PAGE
ENCLOSURE A--GENERAL RECORDS MANAGEMENT	
PROCEDURAL GUIDANCE	A-1
Purpose	A-1
Records Management Concept.....	A-1
Files Management	A-1
Filing Systems	A-1
File Planning.....	A-2
Designating the Office of Record.....	A-2
Office of Record for Joint Staff and Combatant Command	
Corporate Records.....	A-3
Documentation	A-3
Classified Files.....	A-4
Records Disposition.....	A-4
General.....	A-4
Disposition Standards.....	A-4
Disposition Procedures	A-6
Disposition of Classified Files.....	A-7
Disposition of NATO Documents	A-7
Disposition of Files Upon Organizational Change of Status.....	A-7
Transfer of Files	A-8
Managing Personal Papers	A-8
Mutilation and Destruction of Records.....	A-9
Removal of Records from Joint Staff/Combatant Command Offices.....	A-9
Requests for Joint Staff/Combatant Command Records.....	A-10
Records Management Assistance	A-10
ENCLOSURE B--AUDIOVISUAL RECORDS MANAGEMENT	B-1
General	B-1
Purpose	B-1
Scheduling and Disposition	B-1
Potentially Permanent Records	B-2
Still Photographs	B-2
Graphic Art.....	B-2
Motion Pictures.....	B-2
Video Recordings	B-2
Sound Recordings.....	B-2

Records Elements for Archival Purposes	B-2
Still Photography	B-3
Graphic Art.....	B-3
Motion Pictures.....	B-3
Video Recordings	B-3
Sound Recordings.....	B-4
Managing Audiovisual Records	B-4
Filing and Identification	B-4
Maintenance and Operation.....	B-4
Storage and Preservation	B-5
Centralized Audiovisual Services.....	B-5
Classified Audiovisual Records	B-5
 Appendix: Captions and Labels for Audiovisual Records	B-A-1
 ENCLOSURE C--RECORDS OF CRISIS AND CONTINGENCY OPERATIONS	C-1
General	C-1
Purpose	C-1
Responsibilities	C-1
Chairman, Joint Chiefs of Staff/Combatant Commanders.....	C-1
Operational Units	C-1
Records Repository	C-1
Critical Records	C-2
 ENCLOSURE D--VITAL RECORDS.....	D-1
General	D-1
Purpose	D-1
Policy	D-1
Categories of Vital Records	D-1
Emergency Operating Records	D-1
Rights and Interest Records	D-2
Responsibilities	D-2
Secretary, Joint Staff	D-2
Directors and Heads of Joint Staff Activities.....	D-3
Procedures	D-3
Access to COOP Files.....	D-3

ENCLOSURE E--ELECTRONIC RECORDKEEPING GUIDELINES	E-1
General	E-1
Purpose	E-1
Applicability	E-1
Definitions.....	E-1
Electronic Record.....	E-1
Electronic Recordkeeping.....	E-1
Electronic Records Creation.....	E-2
Electronic Recordkeeping Concept.....	E-2
Electronic Records Management Concept.....	E-3
Labeling and File Naming Conventions	E-3
External, or Physical, Labeling.....	E-3
Internal, or Electronic, Labeling.....	E-4
Indexing and Retrieving Electronic Records	E-5
Ensuring Electronic Records Retention.....	E-6
Electronic Systems Documentation.....	E-6
Judicial Use of Electronic Records	E-7
Security of Electronic Records	E-7
Destruction of Electronic Records	E-8
Software for Electronic Systems.....	E-8
Electronic vs. Other Media for Records Storage.....	E-8
 Appendix A--Disposition of Joint Staff/Combatant Command Electronic Records.....	 E-A-1
General.....	E-A-1
Electronic Records Disposition Schedules	E-A-2
General Records Schedule (GRS)	E-A-2
Joint Staff/Combatant Command Records Schedule	E-A-2
Scheduling Electronic Records	E-A-3
Inventorying Electronic Records	E-A-3
Applying the Disposition Schedule	E-A-3
Scheduling Unscheduled Records.....	E-A-3
Scheduling Program Records.....	E-A-4
Identifying Permanent Electronic Records	E-A-4
 Annex A-- SF 115: "Request for Records Disposition Authority"	 E-A-A-1
 Annex B--Sample Electronic Records System Inventory Sheet ...	 E-A-B-1
 Annex C-- NA 14028: "Information System Description"	 E-A-C-1

Appendix B--Transfer of Permanent Electronic Records to the National Archives.....	E-B-1
Timing of Transfers	E-B-1
Permanent Electronic Records No Longer Needed	E-B-1
Long-Term Local Storage of Magnetic Tape	E-B-1
Documentation	E-B-1
Transfer Format and Media.....	E-B-1
Acceptable Format	E-B-1
Acceptable Media	E-B-2
Processing Electronic Records for Transfer	E-B-3
 Annex A--Checklist for Transfer of Electronic Records to the National Archives	 E-B-A-1
 Annex B--SF 258: "Agreement to Transfer Records to the National Archives of the United States"	 E-B-B-1
 Annex C--NA 14097: "Technical Description for Transfer of Electronic Records to the National Archives"	 E-B-C-1
 Annex D--Preparing and Shipping Electronic Records for Transfer.....	 E-B-D-1
Formatting Electronic Records for Transfer	E-B-D-1
Transfer/Storage Media	E-B-D-1
Character Code and Labels	E-B-D-1
Block Size	E-B-D-1
Reporting Requirements	E-B-D-1
Shipping	E-B-D-1
 Annex E--Documentation to Accompany Electronic Records for Transfer.....	 E-B-E-1
General.....	E-B-E-1
Documentation Sources	E-B-E-1
Documentation Types.....	E-B-E-1
Technical.....	E-B-E-1
File Structure and Content	E-B-E-1
Contextual	E-B-E-3
Databases and Documentation.....	E-B-E-3

Appendix C--Electronic Records Standards.....	E-C-1
FIPS PUBS.....	E-C-1
ANSI	E-C-1
Appendix D--Use of Optical Disk Systems to Store Joint Staff/ Combatant Command Records	E-D-1
General.....	E-D-1
Definitions	E-D-1
Read-Only Optical Media.....	E-D-1
Read/Write Optical Media	E-D-1
Use of Optical Disks to Store Temporary Records	E-D-1
Use of Optical Disks to Store Permanent Records	E-D-2
NARA Actions	E-D-2
Appendix E--Inventory of Joint Staff Automated Records	E-E-1
Appendix F--Comparison of Media for Information Storage and Retrieval	E-F-1
ENCLOSURE F--JOINT STAFF/COMBATANT COMMAND FILING SYSTEM	F-1
General	F-1
Files Management and Control	F-1
Numbering Joint Staff/Combatant Command Functional Files	F-1
Major Functional Series	F-1
Subfunctional Groupings	F-2
Office-Specific Subdivisions	F-2
Grouping Files.....	F-3
Subject Files	F-3
Case Files	F-4
Reference Files.....	F-4
Arranging Files	F-4
Basic Arrangements.....	F-4
Working with Numerical Set Files.....	F-5
Cross-Referencing and Indexing.....	F-5
Files Planning and Review	F-6
Using JS Form 31, "Joint Staff/Combatant Command List of Selected Files Numbers"	F-6
Constructing a Files Plan	F-7
Using JS Form 32, "Records Management Inspection Checklist".....	F-7

Labeling Files and Other Records.....	F-8
Labels.....	F-8
Guide Cards	F-8
File Folders.....	F-8
Labeling Audiovisual and Electronic Records	F-8
Files Cut Off Procedures	F-8
Using the Disposition Schedule.....	F-8
Other Cut Off Standards.....	F-9
Changing the Disposition Schedule.....	F-9
Procedures for Filing Documents	F-9
Preparing Documents for Filing.....	F-9
Placing Documents in Folders and Files	F-10
Procedures for Filing Publications.....	F-11
Using Binders	F-11
Filing a New or Revised Publication.....	F-11
Posting and Filing a Change.....	F-12
Posting and Filing a Supplement.....	F-12
Filing a Publication or Posting a Change with a Future Effective Date	F-13
Charge-Out Procedures	F-14
Filing NATO Documents	F-14
 Appendix A--Files Management Checklist	F-A-1
 Appendix B--Disposition Standards and Instructions.....	F-B-1
Annex: Abbreviations for Disposition Instructions	F-B-A-1
 Appendix C--JS Form 31: "Joint Staff/Combatant Command List of Select File Numbers"	F-C-1
 Appendix D--JS Form 32: "Records Management Inspection Checklist"	F-D-1
 Appendix E--Labeling File Folders, Guide Cards, Cabinets, and Binders.....	F-E-1
 Appendix F--JS Form 30: "Joint Staff/Combatant Command Records Management Survey"	F-F-1
 Appendix G--JS Form 62: "Joint Staff Charge-Out Record	F-G-1

Appendix H--Filing Equipment and Supplies.....	F-H-1
Purpose	F-H-1
Conservation	F-H-1
Standardization	F-H-1
Equipment	F-H-1
Supplies.....	F-H-2
Equipment for Classified Filing	F-H-2
Requesting Filing Equipment	F-H-2
ENCLOSURE G--ADMINISTRATIVE INSTRUCTIONS FOR PACKING, SHIPPING, AND RECALLING RECORDS	G-1
General	G-1
Documentation to Accompany Records Transfers.....	G-1
Routing	G-1
Shipping Containers.....	G-2
Standard Box, NSN 8115-00-117-8249	G-2
Half-Size Box, NSN 8115-00-117-8338.....	G-2
Magnetic Tape Box, NSN 8115-00-117-8347	G-2
Microfiche Box, NSN 8115-01-025-3254	G-2
X-Ray Box, NSN 8115-00-290-3386	G-2
Mailing Tubes, NSN 8110-00-291-0345 and -0348.....	G-2
Packing Procedures	G-2
Pre-Screening Records	G-2
Segregating Records.....	G-3
Positioning Records within Containers	G-3
Marking Procedures.....	G-3
Shipping Procedures.....	G-4
Transfer and Storage of Classified Record	G-4
General.....	G-4
TOP SECRET Material.....	G-5
SIOP Material	G-5
Recalling Records	G-5
Authorized Officials.....	G-5
Recall Procedures	G-6
Appendix A--SF 135: "Records Transmittal and Receipt"	G-A-1
Annex A--SF 135A: "Records Transmittal and Receipt (Continuation)".....	G-A-A-1
Annex B--Nontextual Codes for SF 135/135A, Block 6.(f), "Series Description".....	G-A-B-1

Appendix B--Using a Federal Records Center Storage Box.....	G-B-1
Appendix C--Loading Skids and Pallets.....	G-C-1
Appendix D--JS Form 48: "Distribution Authorization Sheet for Inactive Storage Facility"	G-D-1
Appendix E--OF 11: "Reference Request--Inactive Storage Facility" ...	G-E-1
ENCLOSURE H--CONTRACTOR RECORDS	H-1
General	H-1
Purpose	H-1
Guidelines	H-1
For Joint Staff/Combatant Command Records Managers	H-1
For Contract Negotiators and Writers	H-1
ENCLOSURE I--RECORDS MANAGEMENT TRAINING	I-1
General	I-1
Purpose	I-1
Guidelines for Joint Staff/Combatant Command Records Management Training Programs	I-1
Planning an Annual Program	I-1
Developing the Curriculum	I-1
Monitoring the Program	I-1
Promoting Records Management Awareness	I-2
Professional Training Resources.....	I-2
NARA-Sponsored Training.....	I-2
Other Resources	I-2
ENCLOSURE J--REFERENCES	J-1
GLOSSARY	GL-1
Part I--Abbreviations and Acronyms.....	GL-I-1
Part II--Definitions.....	GL-II-1
FIGURE.....	PAGE
B-A-1 Labels for Still Photographs.....	B-A-1
B-A-2 Label for a Motion Picture Reel.....	B-A-2
B-A-3 Label for a Video Tape	B-A-2
C-1 Index of Critical Records of Crisis and Contingency Operations ...	C-2

E-1	Computer Directory Showing Office Subdirectories.....	E-5
E-B-E-1	NA 14012: "Record Layout"	E-B-E-2
F-1	Joint Staff/Combatant Command Filing System Major Series.....	F-1
F-2	Joint Staff/Combatant Command File Number Composition	F-2
F-3	Office-Specific File Numbering Options.....	F-3
F-4	Sample Files Plan.....	F-7
F-5	Posting Changes and Supplements.....	F-13
F-F-1	Label for File Cut Off on Occurrence of an Action or Event	F-F-1
F-F-2	Label for Inactive File	F-F-1
F-F-3	Guide Card Labels.....	F-F-1
F-F-4	Use of a "Dummy" Folder	F-F-2
F-F-5	Drawer Labels	F-F-3
F-F-6	Binder Labels.....	F-F-3
F-F-7	Positioning File Folder Labels	F-F-4

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ENCLOSURE A

GENERAL RECORDS MANAGEMENT PROCEDURAL GUIDANCE

1. Purpose. This enclosure provides general guidance to the Joint Staff/combatant command records management process. Specific guidance is provided in other enclosures to this manual (see Table of Contents) and in the references listed at Enclosure J.

2. Records Management Concept

a. Every action, decision, or policy results in some kind of documentation in the form of records.

(1) The Records Disposal Act of 1943 (reference b.[4]) defines records as:

. . . books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them.

(2) In short, records are the memory of an agency and, as such, must be properly managed to ensure that valuable information is available to support both current operations and historical research. This goal is only attainable through continuous, systematic, and effective controls over the creation, maintenance, and disposition of records in accordance with established principles--i.e., through a records management program.

b. Records created by each Joint Staff and combatant command organization will be maintained and retained as prescribed in this manual. The records disposition standards specified in Volume II of this manual constitute authority for retention, transfer, temporary or permanent retirement, and/or destruction of record and nonrecord material.

3. Files Management

a. Filing Systems. The prime feature of a filing system is that it must facilitate the retrieval and disposition of records. The Joint Staff/Combatant Command Filing System is based upon this premise and the recognition that

each organizational office maintains records documenting the performance of one or more of their functions. The Joint Staff/combatant command system is therefore built principally along functional lines, with functional areas grouped into major categories of related types of records, referred to as record series. Because records are so intertwined with the function they document, the Joint Staff/combatant command system is designed to offer flexibility to individual offices in establishing files that facilitate their work while providing ample uniformity to ensure that sound records management principles are observed. See Enclosure F for detailed guidance on the operation of the Joint Staff/Combatant Command Filing System including a list of records series, a files management checklist, and a discussion of filing equipment and supplies.

b. File Planning. Filing systems are administrative tools designed to aid an organization in effectively managing the records it accumulates. To accomplish this task, files must be carefully planned. The following points are pertinent to good file planning.

- (1) Conveniently locate office files to offer maximum utility to the user.
- (2) Consult users to avoid unnecessary duplication of records.
- (3) Arrange and assemble files in a manner that facilitates retrieval of information.
- (4) Properly identify materials for filing and avoid placing routine, temporary items in the same folders as substantive program or mission records. This practice reduces the possibility of losing important record material when cleaning out files for systematic disposition.
- (5) Publish written procedures on the files operation within the office.

c. Designating the Office of Record

(1) It is essential that an office of record be designated for maintaining the official record copy of the materials accumulated in the performance of a function. By doing so, possible confusion as to the retention of a given document can be avoided. Also, duplicate files are usually unnecessary when it is known that a certain office is responsible for the record copy. Depending upon the size and complexity of the operation, a functional manager may elect to designate more than one office of record for the different types of records it maintains; however, it is strongly recommended that the number be kept to a minimum and the designation be widely publicized through written policy stating the responsibilities.

(2) Each office of record is responsible for the custody, maintenance, and retirement or disposal of the records it holds. In selecting an office of record, these factors should be considered:

(a) Records must be readily accessible to users, reducing the need for duplicate files elsewhere.

(b) Classified material must be maintained in security containers or secure areas in accordance with references i and aa.

(c) Space should be adequate for present and anticipated needs. Large quantities of paper must be afforded ample fire protection.

(d) Filing equipment and supplies should be arranged to provide control, smooth workflow, and convenience to the maximum number of users. Classified file containers will be located away from windows and doors to prevent unauthorized access.

(e) Because of security requirements, some specialized files may be centrally located in limited access facilities.

d. Office of Record for Joint Staff and Combatant Command Corporate Records.

(1) The Joint Secretariat, Information Management Division (IMD), is the office of record for Joint Staff corporate papers with the exception of those documents in compartmented or other special control channels. IMD maintains the Joint Staff corporate records in official case files readily available to Joint Staff members for research and reference.

(2) The combatant commanders will, in establishing their internal Combatant Command Records Management Programs, designate the office (or offices) of record for their corporate records and ensure these records are maintained in official case files readily available to the combatant command staff for research and reference.

e. Documentation. Documentation concerns the creation, assembly, and consolidation of background materials that fully explain or support a specific action into a logical sequence for the file. Incomplete record cases can lead to misinterpretation or misunderstanding; therefore, effective documentation practices are essential to ensure that files contain complete accounts of actions taken, commitments made, and the results thereof. These supporting materials should be incorporated into the record copy file of the action.

f. Classified Files. Classified material will be safeguarded in accordance with references i and aa and appropriate combatant command procedures.

(1) The intermingling of classified and unclassified material should be kept to a minimum and restricted to those papers that directly support, explain, or document the record of an action.

(2) The front and back of folders containing classified material will be stamped with the highest classification of the papers filed therein.

(3) Folders containing classified documents must be filed and stored in approved classified containers or secure vault areas commensurate with the classification of the material to be protected.

4. Records Disposition

a. General. The value of records is determined by their use as administrative tools, as legal or other official evidence, and as material for historical or other research. Only a portion of the total volume of records accumulated by an agency is of sufficient value to justify its preservation as part of the permanent archives of the United States. In general, the records that are most authoritative, informative, and valuable in conducting office operations are also the most important for historical or other research purposes. The majority of records have a limited life span during which the information contained in them is useful, i.e., they may be disposed of when their usefulness has expired. Determining retention periods is crucial to effective records management. Most records should not be kept permanently or even for long periods. See Volume II of this manual for the Joint Staff/Combatant Command Records Disposition Schedule, which contains the mandatory rules for retention and disposition of all Joint Staff/combatant command organizational records.

b. Disposition Standards

(1) Identifying Record and Nonrecord Material. The initial step in developing disposition standards for materials accumulated by an agency is to determine what is record material and what is not. The designation "nonrecord" applies to materials that cannot be categorized as records but still must be assigned disposition standards. Distinguishing between record and nonrecord material is often difficult, but as a general rule, if there are questions as to the proper category, it should be treated as record. Sometimes papers normally considered to be nonrecord (such as transmittal or routing slips) may acquire record status if their contents are necessary to clearly explain or document the matter to which they are attached; therefore, care must be exercised when making this determination.

(a) The statutory definition of records cited in subparagraph 2.a.(1) of this enclosure further states:

Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included [in the definition of records].

(b) In addition to those cited above, nonrecord materials may include:

1. Reading file, tickler, follow-up, or suspense copies of correspondence.
2. Duplicate copies of documents contained in the same file.
3. Extra copies of printed or processed documents, official copies of which have been retained for record purposes.
4. Materials documenting such fringe activities of agencies as employee welfare activities and charitable fund drives.
5. Routing slips and transmittal sheets.
6. Working papers, drafts of reports and correspondence, and transcribed stenographic materials.
7. Reproduction materials such as stencils, hectograph masters, and offset plates.
8. Blank forms.
9. Processed or published materials that are received from other offices or activities and that require no action and are not required for any kind of documentation (the originating office is required to maintain record copies).
10. Superseded manuals and other directives maintained outside the office that is responsible for retaining them.
11. Catalogs, trade journals, and other publications or papers that are received from Government agencies, commercial firms, or private institutions and that require no action and are not part of a case upon which action is taken.
12. Correspondence and other materials of short-term value that, after action has been completed, have neither evidential nor informational value, such as publications and communications on hotel reservations.
13. Information copies of correspondence and other papers on which no documented administrative action is taken.
14. Physical exhibits, artifacts, and material objects lacking documentary value.
15. Electronic data processing files as described in Volume II of this manual at Enclosure B (1000 Series) and properly designated for disposal.

(2) Identifying Temporary and Permanent Records. Having made the distinction between record and nonrecord material, the next step in

determining appropriate disposition standards is to decide if the record material is temporary or permanent. Regardless of their nature or physical form, all records fall into one of two categories:

(a) Temporary Records. Records that are disposable after a fixed period of time or after an event. The time may range from a few days or months to longer periods such as 20 years or even 100 years. The vast majority of Federal records are temporary.

(b) Permanent Records. Those records that are sufficiently valuable for research or other purposes to warrant permanent preservation by the Federal Government. A very small portion of Federal records are permanent.

(3) Determining Standards. Assessment of records to determine disposition standards must be done with the above considerations in mind. The Joint Staff/combatant command disposition standards contained in Volume II were developed in accordance with mandatory disposition guidance set forth in NARA regulations and DOD guidelines. Use of these standards is mandatory within the Joint Staff and combatant commands. Recommended changes, additions, or deletions to the standards should be submitted with full justification to the applicable Joint Staff/Headquarters Combatant Command Records Manager on Joint Staff (JS) Form 30, "Joint Staff/Combatant Command Records Management Survey" (see Appendix F to Enclosure F).

c. Disposition Procedures. The Joint Staff/Combatant Command Records Disposition Schedule in Volume II specifies retention periods and cites the actions to be taken after a file is removed from an active status (cut off), i.e., the cut off date is the start date of the retention period specified. If not stated, files will be cut off at the end of the calendar year.

(1) Application of a disposition rule to a given file must take into consideration what the item is and how the office uses it. For example, extra copies may be disposed of as specified, but the record copy is a permanent document that is eventually sent to the National Archives for preservation. Accordingly, Joint Staff/combatant command disposition standards were developed to reflect not only the type of document but also the holder and how the holder uses that document.

(2) The Joint Staff/Combatant Command Records Disposition Schedule lists types of record and nonrecord materials, including electronic records/nonrecords, that are created in and maintained by the Joint Staff and combatant commanders. The dispositions correlate to type, rather than subject, because in many cases each type may cover a wide variety of subjects. The appropriate disposition for a file will be chosen based upon whether the holding office has office of record responsibility (subparagraphs 3.c. and 3.d. of

this enclosure) or is retaining the material for convenience; choices listed under each type of record provide for selecting a disposition that corresponds to use.

d. Disposition of Classified Files

(1) The security requirements of references i and aa will be observed when disposing of classified material. See Enclosure G for packaging and shipping instructions for classified files.

(2) Joint Staff/combatant command files, including those containing classified information, will be transferred to the appropriate storage facility. All permanently valuable classified information transferred to the National Archives will be reviewed systematically for declassification by the Archivist of the United States as it becomes 25 years old, with assistance from the Joint Staff/combatant command personnel designated for that purpose under subsection 3-200 of reference i. Information concerning intelligence activities (including special activities), sources, or methods created after 1945, and information concerning cryptology created after 1945, that is accessioned into the National Archives will be reviewed systematically as it becomes 50 years old.

Note: The Washington National Records Center (WNRC) facility is not cleared to provide storage for classified SCI, NATO, or SIOP documents. Therefore, such material must be retained in the office of record, Joint Staff/combatant command inactive storage facility, or returned to the originating office.

e. Disposition of NATO Documents. References n and bb contain control instructions for NATO documents and refer to applicable disposal authorities. Classified document receipts, destruction certificates, and registers relating to all classifications of NATO COSMIC, TOP SECRET, and ATOMAL documents that reflect the final disposition of the documents in a subregistry will be disposed of in accordance with references n and bb and Volume II of this manual (Enclosure B, 0300 and 0800 Series). Document receipts, destruction certificates, and other control files relating to NATO documents having a lower security classification than those indicated above will be disposed of in accordance with Volume II.

f. Disposition of Files Upon Organizational Change of Status. The following procedures are equally applicable to the Joint Staff/combatant commanders and any specially organized element, such as a board, committee, council, commission, or task force.

(1) Transfer of Functions. When a function is transferred from one organization to another, the current files relating to the transferred function will be forwarded to the gaining element. The inactive files will be forwarded to

the appropriate records center. A complete list of both the active files and the inactive files will be furnished to the appropriate Joint Staff/Headquarters Combatant Command Records Manager and to the records manager of the gaining organization. See Enclosure G for complete procedures on documenting files transfers.

(2) Redesignation or Reorganization. On redesignation without transfer of function, files maintenance will continue in the same manner as though no change had occurred.

(3) Discontinuance. On discontinuance without transfer of function, files not authorized for immediate disposal will be retired to the designated records center.

g. Transfer of Files

(1) The transfer of files from one DOD component to another is permitted only when a transfer of function provides for such transfer (subparagraph 4.f.[1] of this enclosure).

(2) Joint Staff/combatant command policy is to transfer all permanent files to NARA for subsequent incorporation into the National Archives. Joint Staff and Headquarters Combatant Command Records Managers are responsible for making arrangements for the transfer of files and establishing policies for their use.

(3) NARA regulations prohibit the transfer of files from one Government agency to another without prior approval of NARA except when records are retired to a Federal records activity. Authority to transfer records to another Government agency must be obtained through the appropriate Joint Staff/Headquarters Combatant Command Records Manager. Recommendations for such transfers will include a concise description of the files, estimated volume in linear feet or reels of magnetic tape, name and location of the receiving agency, and the reasons for the transfer.

5. Managing Personal Papers. (See Glossary for a definition of personal papers.)

a. Personal papers are subject to the provisions of reference a.(1), section 1222. Reference a.(1), section 1222.36, provides guidance on identifying and maintaining personal papers. The NARA Management Guide, "Personal Papers of Executive Branch Officials," provides guidance for Joint Staff/combatant command officials who may maintain both official records and personal papers.

b. Personnel should review their papers periodically to ensure the proper maintenance, filing, and separation of official Joint Staff/combatant command records. When matters of official business are included in personal correspondence, the portion concerning official business will be extracted and made a part of the official records. Presidential appointees and other officials in similar high-level policymaking positions are encouraged to donate personal papers created during their tenure in office to a Presidential Library or to NARA for historical retention. After retirement, the donor has regular access to these documents, including those that are classified, and further has the prerogative of restricting access thereto by others without prior authorization.

6. Mutilation and Destruction of Records. It is unlawful to remove, deface, alter, erase, scratch, or destroy organizational records except as authorized in this instruction (reference b.[2], section 2905, "Establishment of Standards for Selective Retention of Records: Security Measures," and b.[4], section 3106, "Unlawful Removal, Destruction of Records").

7. Removal of Records from Joint Staff/Combatant Command Offices

a. The following materials **will not be removed** from Joint Staff/Combatant Command offices.

(1) The official record copy of any document.

(2) Any classified document without proper written authorization.

(3) Any RESTRICTED DATA (RD) or FORMERLY RESTRICTED DATA (FRD).

(4) Any copies of a document containing the following types of information exempt from public release under the Freedom of Information Act (FOIA) or the Privacy Act (sometimes stamped "For Official Use Only") whether the official copy or an extra copy.

(a) Trade secret and other commercial or financial information of a company proprietary nature.

(b) Information from personal, medical, and similar files that relate to the personal privacy of individuals.

(c) Information that may not be made public without violating statutory prohibitions.

(d) Information developed in the course of investigations for the purpose of civil or criminal law enforcement.

(5) Any material, including nonrecord, whose absence would create a gap in the file or impair the logical sequence of essential documentation.

(6) Any document required to transact official business of the Joint Staff/combatant command or required to assist in the decision-making process.

b. The following materials may be removed from Joint Staff/combatant command offices.

(1) Personal and private letters.

(2) Personal diaries, logs, handwritten notes, and memorandums or tapes of personal telephone calls.

(3) Reference books and other personal items obtained from private sources.

8. Requests for Joint Staff/Combatant Command Records

a. All requests for copies of, access to, or information from official Joint Staff/combatant command records will be processed in accordance with the provisions of reference p.

b. Recall of Joint Staff/combatant command records already retired to a records center for the purpose of responding to requests will be accomplished by the directorate in accordance with Appendix A to Enclosure G.

c. Any historical manuscripts prepared as a result of access to Joint Staff/combatant command records must be submitted to the appropriate staff level for review and proper security classification determination prior to release.

9. Records Management Assistance. Records Management and Automation Support Branch (RMAS Br), IMD, provides assistance and guidance in all aspects of the Joint Staff/Combatant Command Records Management Program. Scheduled assistance visits will be announced by memorandum.

ENCLOSURE B

AUDIOVISUAL RECORDS MANAGEMENT

1. General. Audiovisual records are Federal records in pictorial or aural form including still and motion pictures, graphic materials, sound and video recordings, and combinations of media such as slide-tape.

2. Purpose. This enclosure implements the provisions of reference a.(1), section 1232, and establishes Joint Staff/combatant command policies and procedures for managing audiovisual records. The objectives of audiovisual records management are:

a. To achieve the effective creation, maintenance, use, and disposition of audiovisual and related records.

b. To establish standards for the maintenance, disposition, physical security, and preservation of audiovisual and related records and for the review of audiovisual recordkeeping practices on a continuing basis to improve procedures.

3. Scheduling and Disposition. Inventorying and scheduling are especially important for photographs and other audiovisual records because of their fragility. Also, some program officials are unaware that photographs and audiovisual records are Federal records.

a. Audiovisual records should not be evaluated in isolation from other records. Inventory and schedule photographs, films, and magnetic media at the same time as other Joint Staff/combatant command records are inventoried.

b. Schedule audiovisual records as early as possible in their life cycle. This is important because appraisal decisions are part of the scheduling process and will affect the way in which these records are created and maintained. For example, if a photographic series has been identified as permanent, all negatives in that series must be jacketed individually rather than collectively.

c. The disposition of audiovisual records will be carried out in the same manner as that prescribed for other types of records. The word "destroy" is used to authorize the destruction of data information. Erasable media, such as audiotape, should be reused whenever practical. Silver-bearing photographic film must be destroyed in accordance with reference a.(2).

4. Potentially Permanent Records. As with other types of records, most audiovisual records are not permanent; however, the following categories of audiovisual records normally are of permanent value.

a. Still Photographs. Official portraits of senior Joint Staff/combatant command officials; photographs produced or collected for use in Joint Staff/combatant command publications, exhibitions, or other media productions; documentary photographs shot for fact-finding purposes, research and development, or other studies; photographs, slides, or filmstrips that depict the program or mission of the Joint Staff/combatant commanders.

b. Graphic Art. Posters distributed Joint Staff/combatant command-wide or to the public; original artwork of unusual or outstanding merit.

c. Motion Pictures. Joint Staff/combatant command sponsored informational, educational, and recruiting films intended for public distribution; Joint Staff/combatant command sponsored television news releases and informational reports; Joint Staff/combatant command sponsored training films that explain Joint Staff/combatant command functions or activities intended for internal or external distribution; films acquired from outside sources that document or are used to carry out Joint Staff/combatant command programs.

d. Video Recordings.

(1) Joint Staff/combatant command-sponsored informational, educational, and recruiting productions intended for public distribution; Joint Staff/combatant command-sponsored television news releases or information reports; Joint Staff/combatant command-sponsored training programs that explain Joint Staff/combatant command functions or activities intended for internal or external distribution, other than internal personnel and administrative training programs; recordings of public meetings or speeches, Joint Staff/combatant command-sponsored conferences, guest speakers, and testimony of Joint Staff/combatant command officials before Congress and at other hearings; programs acquired from outside sources that document or are used to carry out Joint Staff/combatant command programs.

(2) Recordings of secure video communications between/among general/flag officers during which operational and/or policy issues are discussed and decisions made.

e. Sound Recordings. Joint Staff/combatant command sponsored informational, educational, and recruiting productions intended for public distribution; recordings of public meetings or speeches, Joint Staff/combatant

command sponsored conferences, guest speakers, and testimony of Joint Staff/combatant command officials before Congress and at other hearings. Recordings of secure audio communications between/among general/flag officers during which operational and/or policy issues are discussed and decisions made.

5. Records Elements for Archival Purposes. Records elements for archival purposes are those components of permanent audiovisual records that should be maintained and transferred to NARA, as scheduled, to ensure preservation of the sound or image. For each type of audiovisual record, the specific record components (originals, negatives, prints, dubbings, etc.) required by reference a.(1) for preservation, reproduction, and reference are listed below. Maintenance and control of all record components is essential regardless of whether they are stored in Joint Staff/combatant command or contractor facilities.

a. Still Photography

(1) For black-and-white and color photography, the original negative and a captioned print, and, for color photography, a duplicate negative if one exists.

(2) For color transparency and slide photography, the original and a duplicate.

(3) For slide sets or filmstrips and accompanying recordings or scripts, two copies.

b. Graphic Art

(1) Two copies of posters.

(2) The original of original art and a photographic copy if one exists.

c. Motion Pictures

(1) For Joint Staff/combatant command-sponsored films, the original negative or color original plus separate sound track, an intermediate master positive or duplicate negative plus optical sound track, and a sound projection print or video recording.

(2) For acquired films, two projection prints or one projection print and a video recording.

d. Video Recordings. The original or earliest generation of each recording and a dubbing if one exists.

e. Sound Recordings

(1) For conventional mass-produced, multiple-copy disc recordings, the master tape, matrix, or stamper and one disc pressing.

(2) For magnetic audiotape records (reel-to-reel, cassette, or cartridge), the original or earliest generation of each recording and a dubbing if one exists.

6. Managing Audiovisual Records. Audiovisual records have complex and diverse physical attributes that require special handling, storage, and preservation.

a. Filing and Identification

(1) File trivial, disposable records separately from the important ones.

(2) Weed large files of unneeded, redundant, duplicated, and poor-quality images or sound recordings.

(3) File masters and use copies, such as negatives and prints, separately. This will facilitate preservation of the negative or magnetic master, the most valuable copy of any audiovisual record.

(4) Captions or their equivalent are essential. Audiovisual records are not useful for retrospective research unless they are identified.

(a) Each still photograph will contain a caption consisting of the date, location, names of people, and event (see Appendix to this enclosure). Store photographic captions separately to avoid damage from attaching them to the photographs. File the photo and caption in the appropriate subject file marked with the required disposition information.

(b) Every reel of motion picture film, video-tape, and audio recording will be labeled with the appropriate file category number, subject, date, and disposition instruction (see Appendix to this Enclosure).

b. Maintenance and Operation. Because of their vulnerability to damage, audiovisual records should be handled with extreme care.

(1) Take all steps necessary to prevent accidental or deliberate alteration or erasure of audiovisual records.

(2) Do not erase information recorded on permanent or unscheduled magnetic sound or video media, such as video tapes of Joint Staff war games.

(3) Maintain continuous custody of permanent or unscheduled audiovisual records. The individual assigned permanent custody of audiovisual records may loan such records outside the Joint Staff/combatant command staff **only** if an original record copy is retained.

(4) Maintain the association between audiovisual records and the finding aids for them, such as captions and catalogs.

c. Storage and Preservation

(1) The temperature for storing audiovisual records will not exceed 70 degrees F; 40 to 60 percent relative humidity will be maintained.

(2) Store permanent or unscheduled audiovisual records in audiovisual storage containers or enclosures made of non-corroding metal, inert plastics, paper products, and other safe materials recommended in American National Standards Institute (ANSI) standards (see Appendix C to Enclosure E).

(3) Maintain original and use copies (e.g., negatives and prints) separately whenever practicable. Store negatives separately from prints and magnetic masters separately from viewing or listening copies.

(4) For masters, secure the storage area against unauthorized access and protect the area from fire, water, and chemical damage.

(5) Store nitrate and diacetate film separately; offer the film to NARA immediately.

7. Centralized Audiovisual Services. The National Audiovisual Center (NAC) serves as a central information source to the general public and Federal agencies concerning the availability of audiovisual products produced by or for the Government. NAC develops criteria, establishes appropriate terminology, recommends Government-wide practices for cataloging and indexing audiovisual productions, and maintains a data bank of information on Federal audiovisual productions.

8. Classified Audiovisual Records. The security requirements of references i and aa will be observed when maintaining and disposing of classified audiovisual records.

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APPENDIX TO ENCLOSURE B
CAPTIONS AND LABELS FOR AUDIOVISUAL RECORDS



The Chairman, Vice Chairman, and the Joint Chiefs of Staff," 15 June 1998, - from right to left General Michael E. Ryan, Admiral Jay L. Johnson, General Charles C. Krulak, General Dennis C. Reimer, General Henry H. Shelton, General Joseph W. Ralston, in the Joint Staff Gold Room in the Pentagon



CINCS' Conference, 23-24 September 1999, First Row - Left to Right, - ADM J.M. Loy, Coast Guard; Gen E. K. Shinseki, CSA; ADM J.L. Johnson, CNO; The Honorable W. L. Cohen, SECDEF; Gen H. H. Shelton, CJCS; Gen J. W. Ralston, VCJCS; Gen M. E. Ryan, CSAF; Gen J.L. Jones, CSMC; Second Row - Gen C. T. Robertson, CINCTRANSCOM, Gen P. J. Schoolmaker, CINCSPACE; Gen R. B. Myers, CINCSPACE; Gen W. K. Clark, CINCEUR; Gen J. H. Tilelli, Jr, USFK; Gen A.C. Zinni, CINCENT; Gen C.E. Wilhelm, CINCSO; ADM H.W. Gehman, Jr, USJFCOM; ADM D.C. Blair, CINCPAC; at George C. Marshall Hall, Ft McNair, Washington, D.C.

Figure B-A-1. Labels for Still Photographs

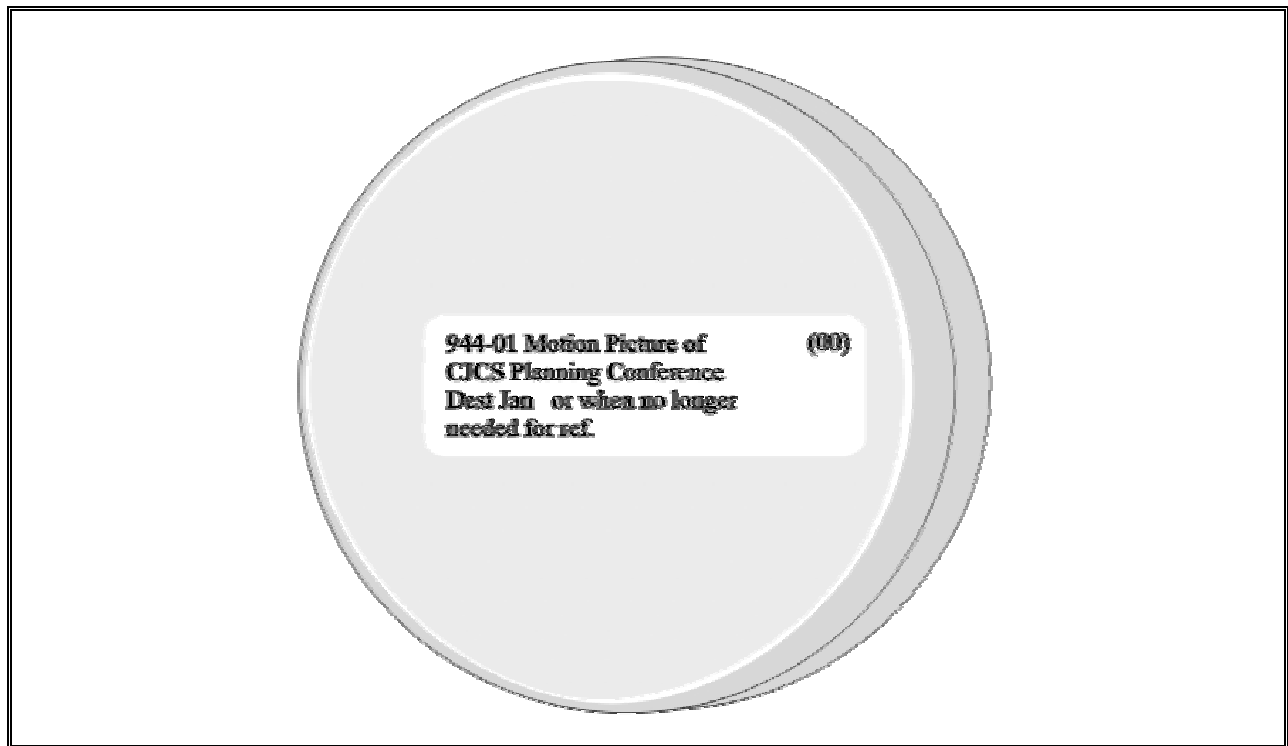


Figure B-A-2. Label for a Motion Picture Reel

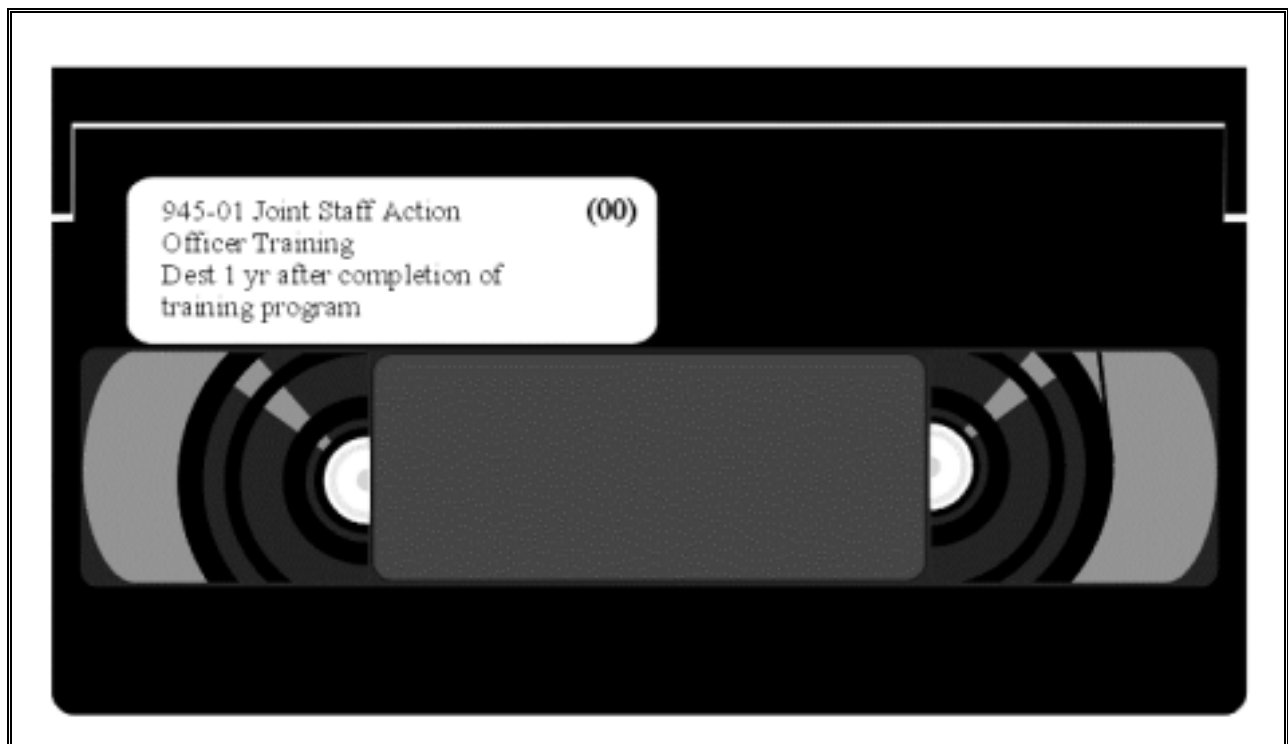


Figure B-A-3. Label for a Video Tape

ENCLOSURE C

RECORDS OF CRISIS AND CONTINGENCY OPERATIONS

1. General. Public law at references b and d requires that records generated from crisis or contingency operations be safeguarded and properly managed in accordance with approved records management procedures. Combatant commands, subunified commands, and joint task forces deployed as a result of crisis or contingency operations must ensure that records requiring collection and preservation are appropriately administered.

2. Purpose. This enclosure implements the provisions of references b and d and provides guidance in the maintenance and preservation of records during hostile operations, emergency actions, and special operations or exercises.

3. Responsibilities

a. Chairman, Joint Chiefs of Staff/Combatant Commanders. Upon determination of a crisis or contingency operation, the controlling Joint Staff/Headquarters Combatant Command Records Manager will provide for a centralized repository for the collection and safeguarding of operational records.

b. Operational Units

(1) Units/activities involved in the specified operation will take action to preserve their official records. This includes designating a records management single point of contact at the appropriate organizational level. When the records are no longer needed for current operations, they must be shipped to the designated operational repository following the procedures outlined at Enclosure G. Records will be identified with the name of the operation, e.g., "These records relate to operation DESERT STORM," and will be inventoried on SF 135, "Records Transmittal and Receipt" (Appendix A to Enclosure G.) The creating unit identification code is required for each record being transferred. **Do not mix classified and unclassified records** in the same box unless required to maintain the integrity of the event.

(2) The unit records management point of contact will collect and transfer records on a monthly schedule to the designated repository site. Local commanders may elect to retain records required for operations until the next collection cycle or until no longer needed. However, all records will be transferred prior to re-deployment.

c. Records Repository. The designated repository site will:

(1) Organize, catalog, and index the records collection.

(2) Maintain the physical integrity and originator of all related records.

(3) Prepare the records for accession into an appropriate Federal Records Center (FRC) or NARA.

(4) Provide continuing technical assistance and guidance in response to FOIA and Privacy Act requests; and ensure access by legitimate researchers.

4. Critical Records. To ensure that historically significant documents created during crisis and contingency operations are collected, the following is an index of critical records that **must**, at a minimum, be preserved.

<ul style="list-style-type: none">- Absentee Cases- Accident/Incident Case Files (including nuclear, chemical, and biological exposure)- Agreements- Bills of Laden- Captured Information- Chemical Accident/Incident Controls- Clinic Logs- Command Reports, Incident Reports, Health Reports, Special Reports, Maps and Overlays- Counter-Intelligence Collection Files- Counter-Intelligence Special Operations- Daily Staff Journal and Tactical Operations Center Log (with coordinates of locations and events)- Document Registers- Field Medical Cards- Foreign Personnel and Organization Files- Historian's Background Material Files (including historian's journal and oral history audio and videotapes)- Inpatient Records- Inspector General Investigations- Intelligence Collection	<ul style="list-style-type: none">- Intelligence Mission Assignments- Intelligence Non-Operational Reports- Intelligence Operational Management Files and Reports- Intelligence Project Cases- Maps and Overlays- Military Animal Records- Military Police Journals (blotters)- News Media Reports and Releases- Nuclear Accident/Incident Controls- Office Temporary Duty Travel (civilian temporary duty orders)- Operation Planning Files- Operations Plans (including audio/videotapes of teleconferences)- Organizational History Files- Outpatient Field Medical Files- Passenger Manifests- Personnel Type Orders- Property Books and Supporting Documents- Property Loss, Theft, and Recovery Reports- Report of Survey Control Register Files- Report of Survey Files- Unit Supply Reports- U.S. POW/MIA Detainee Intelligence
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Figure C-1. Index of Critical Records of Crisis and Contingency Operations

ENCLOSURE D

VITAL RECORDS

1. General. The Joint Staff Vital Records Program provides for the selection and protection of vital records required for Joint Staff emergency preparedness programs. The combatant commanders must establish such programs and may use this enclosure as a model for that purpose.

2. Purpose. This enclosure implements the provisions of reference a.(1) and establishes the Joint Staff Vital Records Program to ensure the continuity of essential Joint Staff activities during and following a national emergency to include enemy attack against the United States. It further establishes procedures and assigns responsibilities for maintaining documents for continuity of operations (COOP) in accordance with reference r.

3. Policy

a. Records necessary to carry out essential Joint Staff operations in time of emergency will be filed at the appropriate duplicate record depository and maintained in a current status. Joint Staff files compiled for this purpose will be maintained at the National Military Command Center (NMCC), Site R, Fort Ritchie, MD, in the spaces allocated to RMAS Br, IMD. Joint Staff offices whose emergency operations are to be conducted at other than the principal Joint Staff relocation site will ensure that records required for their emergency operations are available at the emergency site.

b. The standards for identifying vital records can only be established in general terms. Essentially, only records necessary to the conduct of emergency functions of a substantive nature are involved. As a minimum, Joint Staff relocation and reconstitution files will contain all corporate documents listed in the index of directives to the combatant commanders, copies of combatant command operations plans, and copies of all DOD directives and instructions.

4. Categories of Vital Records. As required by reference a.(1), the Joint Staff Vital Records Program includes two basic categories: emergency operating records and rights and interests records.

a. Emergency Operating Records. A Relocation and Reconstitution Files Program has been established to ensure the survivability of documents required by the Joint Staff for essential operations under a state of national emergency and to ensure that enough documents are available to plan and implement reconstitution of the Joint Staff once the situation has been stabilized. The objectives of the Relocation and Reconstitution Files Program are as follows.

(1) Create and maintain current COOP files at designated sites to support emergency actions and functions of the Joint Staff according to the COOP plan (reference r).

(2) Provide one complete set of reconstitution files for the emergency operating files of each Joint Staff directorate and separate office.

(3) Standardize the selection, distribution, storage, filing, safeguarding, and inventorying of duplicate files material.

(4) Facilitate the use of technology for accounting, inventory review, retrieval, and display of duplicate emergency files material.

b. Rights and Interest Records

(1) Rights and interest records are essential to the preservation of the legal rights and interests of individual citizens and the Joint Staff. They include retirement records, payroll records, and valuable research records. These records require protection; however, the storage points do not have to be at or in the vicinity of the emergency operating centers (reference a.[1], subparagraph 1236.4[B]).

(2) Rights and interest records will be maintained by the directorate or office of primary responsibility (OPR) within the Joint Staff, appropriate Military Service, or Office of the Secretary of Defense, Washington Headquarters Services (i.e., personnel records). The National Archives also provides for the storage, protection, and servicing of rights and interests vital records, including records on magnetic tape and photographic film as well as paper records. The facilities of all FRC, regardless of geographic location, are available for offices desiring to store their rights and interest records. Directorates may make arrangements for transfer of these records to any FRC by contacting RMAS Br.

5. Responsibilities

a. Secretary, Joint Staff. RMAS Br, IMD, is responsible to:

(1) Maintain COOP files for the Joint Staff.

(2) Select, store, and dispose of appropriate documents for relocation and reconstitution purposes.

(3) Oversee the annual review of directorate COOP holdings.

b. Directors and Heads of Joint Staff Agencies

(1) May compile, maintain, and store essential directorate documents required for COOP in RMAS Br spaces at Site R or any other designated relocation site.

(2) Must annually review COOP documents for currency and update relocation and reconstitution files and databases.

(3) Must ensure that critical data or relocation and reconstitution files designated to run on Site R computers are recorded in formats compatible with the Site R hardware and software configuration.

6. Procedures

a. Directorate documents to be stored for COOP purposes will be wrapped in accordance with current security procedures and forwarded by the originating agency via a JS Form 48, "Distribution Authorization Sheet for Inactive Storage Facility" (see Appendix D to Enclosure G), to RMAS Br, Room 2B917, Pentagon, for transfer to Site R. TOP SECRET and SECRET documents will be listed individually on a receipt, a copy of which will be enclosed in each box to be transferred. The box will be labeled with the following address.

J-# RELOCATION FILES FOR NMCC - SITE R
FORT RITCHIE, MD

b. Directorate documents stored for COOP purposes will remain in sealed boxes until access is required by the forwarding agency.

c. Documents held in relocation sites must be validated and checked at least once annually for currency.

7. Access to COOP Files. Combinations to vaults and containers used in this program will be furnished in sealed opaque envelopes to the Chief, NMCC - Site R, for emergency use only. In cases of general emergency necessitating the use of documents when personnel of the cognizant office are not available, the Chief, NMCC-Site R, is authorized access to COOP files.

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ENCLOSURE E

ELECTRONIC RECORDKEEPING GUIDELINES

1. General. References b.(2) (section 2904) and b.(3) (sections 3103 and 3102) require the head of each Federal agency to establish and maintain a continuing program for the economical and efficient management of all agency records, including electronic records. With ongoing Joint Staff/combatant command automation initiatives, an increasing proportion of Joint Staff/combatant command official records are being created and maintained in electronic formats.

2. Purpose. This enclosure establishes a management program for Joint Staff/combatant command electronic recordkeeping systems and the basic requirements for creation, maintenance, use, disposition, and preservation of information stored on computers. See Appendix A to this enclosure for detailed information on electronic records disposition, Appendix B for procedures for transferring electronic records, Appendix C for related federal and environmental standards, and Appendix D for a discussion of optical disk systems. Appendix E lists Joint Staff automated systems. Appendix F compares electronic media with other media for information storage and retrieval.

3. Applicability. Unless otherwise noted, these requirements apply to all Joint Staff/combatant command electronic records systems, whether on microcomputers, minicomputers, or mainframe computers, regardless of storage media, in network or stand-alone configurations.

4. Definitions

a. Electronic Record. An electronic record is any information stored in a form that only a computer can process and that satisfies the definition of a record (see Glossary, Part II, and subparagraph 5.b. of this enclosure). Electronic records include but are not limited to magnetic tapes, disks, drums, video files, and optical disks. **Electronic records may also include data files and databases, machine-readable indexes, word processing files, electronic spreadsheets, electronic mail and electronic messages, and other text or numeric information.**

b. Electronic Recordkeeping. Electronic records that meet the criteria established for Federal records must be maintained and disposed of in accordance with approved disposition schedules. **Electronic recordkeeping involves the use of computers to create, retrieve, analyze, transmit, or delete records in accordance with approved disposition schedules.**

5. Electronic Records Creation

a. Word processing is the most common office computer application. A variety of word processing software packages run on various equipment configurations. These powerful, easy-to-use systems allow administrative, technical, and professional personnel to create and store documents more frequently and rapidly and to share and revise the documents more easily than in the traditional paper-based office operation; however, the proprietary nature of many of these applications may have long-term effects on the retrievability of records created on them.

b. Information created in or received by the Joint Staff/combatant commanders in carrying out their missions is a Federal record. How long the record needs to be kept to facilitate the work of the Joint Staff/combatant commander, and the degree to which it needs to be controlled, is a function of its value to the mission or the agency, legal requirements, and its uniqueness. Some products of traditional office work that are created on a computer--e.g., letters, memorandums, and reports--may have no value after the product is printed and a copy is filed in the official file station. Documents such as directives and standard operating procedures are most useful when kept on disk in a master library to preclude retyping an entire document to incorporate a small number of changes. Other electronic records--such as the master files of the Joint Staff Documents Storage and Retrieval System, Action Tracking System, Comptroller Automated Budget System, and International Negotiation System--may be most valuable as computer files.

6. Electronic Recordkeeping Concept

a. Electronic technology has greatly increased the methods of creating, editing, maintaining, transmitting, and retrieving Joint Staff/combatant command records. During the life cycle from creation to disposition, these records often extend beyond the traditional paper form to comprise a variety of media. For example, an original paper record generated by a word processor or personal computer may be printed for distribution, the computer record temporarily stored on a magnetic disk, and the official record copy retained on a mass storage device; after a specified period of time, the record copy may then either be erased or transferred to magnetic tape for eventual transmittal to NARA for permanent retention.

b. Electronic records are not forwarded to an inactive storage facility for retention or disposal unless specialized maintenance equipment is available to ensure the data is retained on magnetic tape for permanent files. Temporary electronic records are not stored in an inactive storage facility.

c. The key to determining the retention of any record, electronic or paper, is its value to its creator. When information exists in both machine-readable and hard-copy formats, including computer output microform, various factors bear on deciding which medium should be retained for archival purposes. Among the factors are the relative costs of storage and preservation, the convenience of reference, and the ease with which hard-copy documents can be regenerated from the machine-readable files.

7. Electronic Records Management Concept

a. The contents of the computer's directory or the sum of all electronic folders may be equated to the traditional file drawer. Each computer data subdirectory or electronic folder is equivalent to a paper file folder. Files in directories or folders are equivalent to individual documents in the folder. Directory or folder names are equivalent to file folder labels in that they identify the broad functional category of the information contained in them. File names are equivalent to filing instructions written on papers before they are filed.

b. Labeling, naming, and filing conventions for electronic records should be simple. An effective electronic filing system maintains like documents in the same place (on the same labeled floppy or in the same directory on a hard disk) to avoid the necessity of rummaging through a drawer full of floppy disks or searching through multiple directories on hard disk to find needed documents.

8. Labeling and File Naming Conventions. Labels are essential to the accessibility of electronic media. Each document in electronic form must be identified sufficiently to enable authorized personnel to retrieve, protect, and carry out its disposition. Labeling electronic records is accomplished at two levels: external and internal.

a. External, or Physical, Labeling. External labeling includes physically placing labels on electronic record containers such as floppy disk paper jackets and magnetic tape containers, as well as on the individual diskettes and tapes.

(1) Electronic record labels should show the same information required on paper file folder labels as well as the hardware (computer equipment) and software (computer program) that will read the information. In addition to the information required by reference t, external labels on electronic records will include the following.

(a) Paper jacket of a floppy disk:

1. Security classification.
2. Disposition authority (file category number from Volume II).
3. Disposition instructions.

4. Originating office symbol.
5. Title of record.
6. Begin and end dates.
7. Software used to create the record.
8. Hardware used to produce the record.

(b) Computer magnetic tape container:

1. Security classification.
2. Disposition authority (file category number from Volume II).
3. Disposition instructions.
4. Name of program office sponsoring the data.
5. Volume/serial number.
6. Data set.

(2) To prevent damage to the medium when physically affixing labels to individual diskettes and tapes, labels should be written on or typed before being affixed. Never erase information on a label once it is in place. When affixing a label to a disk, choose an area away from all holes.

b. Internal, or Electronic, Labeling. Internal labeling consists of document and file naming within the computer system.

(1) Naming electronic files resembles labeling paper file folders with two important differences.

(a) Most computer operating systems limit the length of a file name. Some limit the name to a total of 11 characters (8 for a name and 3 for an extension); others permit 25 to 30 characters, allowing more description.

(b) Conventions for file naming are not currently standardized; it is essential that they be. Joint Staff/combatant command data elements standards are currently under development.

(2) Electronic document naming conventions should be standardized and readily understandable so that employees, their colleagues, and/or successors can find and use information stored in computer hard drives, on local networks, and on disks and CD-ROM's.

(3) Electronic labels located in subdirectories or folders must also provide sufficient information to find the files within them. The file series designations in Volume II should be used to name subdirectories. For example, a subdirectory labeled 90101GA.1 might show General Office Administration files containing correspondence on arrangements for briefings, conferences, and tours that are destroyed after 1 year. Any logical combination of alphanumeric

characters permitted by the operating system and descriptive of the series is suggested for naming subdirectories or folders, as exemplified in Figure E-1 below.

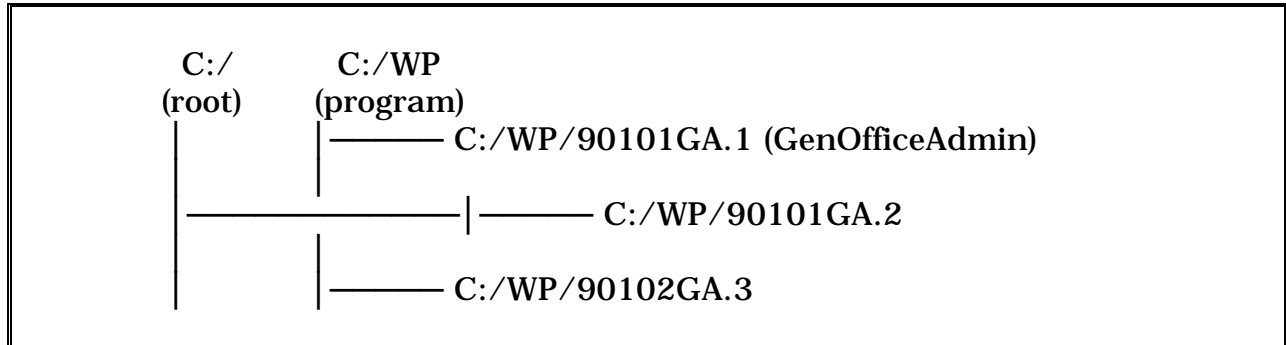


Figure E-1. Computer Directory Showing Office Subdirectories

(4) Software programs that can locate a particular file by searching for a text string are also available. This capability is incorporated in some word processing programs or is available as a separate utility program. This capability can be found in Joint Staff/combatant command archiving programs.

9. Indexing and Retrieving Electronic Records

a. The primary purpose of indexing electronic records is to provide a rapid and reliable method for the automatic retrieval of user-selected sets of data. Use automatic indexing for electronic records whenever practical in accordance with reference e.

b. Two types of computer software can electronically assist in indexing, retrieving, and modifying electronically stored information: Database Management Systems (DBMS) and full text retrieval systems. Off-the-shelf records management software packages are usually variations of one of these types or hybrids of the two.

(1) A key factor in successfully operating a DBMS is establishing a data dictionary if one is not provided. A data dictionary assists users and software personnel in controlling and organizing the naming, meaning, relationships, origin, and use of data elements.

(2) In the full text retrieval method of indexing, all words (with the usual exception of noise words, such as “and,” “the,” and “of”) are indexed to permit flexible and detailed searching of the data.

10. Ensuring Electronic Records Retention

a. The two main causes of data loss are equipment failure and power outages. In central processing facilities and minicomputer sites as well as offices supported by local area networks, system failures are a relatively common occurrence. Users should save files frequently. Most software programs installed throughout the Joint Staff and combatant commands permit the user to save a file without exiting as a hedge against data loss when equipment goes down.

b. To ensure continued availability, electronic records must be regularly backed-up on separate media. The frequency for data backup should be identified in the records management plan for the automated records system and in the contingency plan for the automated information system. Magnetic tape is the preferred medium. When diskettes are the only backup medium available, they may be used for temporary storage of both permanent and temporary records. When possible, the backup media should be stored in an area separate from the source data.

c. When either hardware or software are replaced, records of continuing value must be migrated to the new system(s). Inexpensive software exists that will translate documents from multiple word processing packages into others, retaining tabs and other formatting.

d. Upon the deactivation or termination of a Joint Staff/combatant command automated/ electronic system, the system functional manager will ensure that all data and documentation are properly disposed of as required by the disposition authorities and guidance contained in this manual. Coordination with RMAS Br is required.

11. Electronic Systems Documentation

a. System documentation is the information needed to use computer files. It may be an instruction manual for a word processing or spreadsheet software package, hardware/software specifications, communications port allocations, cabling configurations, disk partition designations, tape drive assignments, and information about how the system hardware operates and how the people using that system are accommodated. Whatever type of information the documentation contains must be kept current.

b. The system functional manager will ensure that documentation adequate for servicing and interpreting machine-readable records designated for permanent preservation by NARA is developed and maintained throughout the life of the related electronic system. The following documentation is required

by DOD and NARA. This documentation will be maintained and disposed of under appropriate Joint Staff/combatant command disposition authority.

- (1) A narrative description of the system.
- (2) The physical and technical characteristics of the records, including a record layout describing each field.
- (3) A description of the form of the data (alphabetic, zoned decimal, packed decimal or numeric) or a data dictionary or the equivalent information associated with a database management system.
- (4) User guides.
- (5) Output specifications.
- (6) Final reports (regardless of medium).
- (7) Any other technical information needed to read or process the records.

12. Judicial Use of Electronic Records

a. Properly created and maintained computer-based records pose no greater legal problems than do paper or microphotographic records unless there are specific statutory or regulatory requirements for paper records, e.g., medical records.

b. Reference m, Rule 803(8), provides that official records may be admitted as evidence in lieu of the personal appearance of the official responsible for the activity. Under this rule, if the only record is electronic, agencies must ensure that systems are utilized, and procedures for their use are established and followed, that preserve the date of the record and automatically record the date of any alterations to the record, and that preserve evidence that the document was authorized to be issued ("signed") by an appropriate agency official. If these steps are not taken, the trustworthiness of the record could easily be called into question and the record could be refused as evidence. Contact the Joint Staff/Combatant Commander Legal Counsel for specific advice.

13. Security of Electronic Records. Special precautions may need to be taken to ensure the security of electronically stored data. This can be done by following established risk-management techniques, keeping a reasonable ratio between the cost of the risk management study and the likely risk to be identified. Detailed risk analysis guidance and procedures for Joint

Staff/combatant command automated information systems are outlined in reference t.

14. Destruction of Electronic Records

a. The Joint Staff/Combatant Command Records Disposition Schedule authorizes the destruction of word processing files and spreadsheets when no longer needed to produce the hard copy that is maintained in organized, official files. Information in databases that support internal housekeeping activities is authorized for destruction if the hard copy is authorized for destruction by the Joint Staff/Combatant Command Records Disposition Schedule. Official files maintained only on an electronic medium that are covered by the Joint Staff/Combatant Command Records Disposition Schedule and the General Records Schedule are disposable after that period of time specified for the records by those schedules. For destruction of records not covered by those schedules, see Appendix A to this enclosure.

b. Users should be encouraged to destroy electronic versions of office products promptly after the document is filed if they are not needed for updating and reuse. Telling the system to delete nonsensitive documents is probably sufficient. However, because documents can still be recovered after the system deletes them, sensitive--and particularly security classified documents--require additional effort. For destruction of classified and sensitive documents (e.g., those covered by security regulations and the Privacy Act), erasing and overwriting the entire disk or tape is required. Detailed guidance and procedures for disposal of classified and sensitive data are contained in reference t.

15. Software for Electronic Systems. Off-the-shelf electronic records management software applications provide an efficient means to manage electronic documents. Reference k sets forth the mandatory baseline functional requirements for records management application software to be used by DOD components in implementing their records management programs. It defines the required system interfaces and search criteria to be supported and describes the minimum records management requirements based on current NARA regulations. Agencies may issue supplementary instructions only when necessary to provide for unique requirements within their organizations provided those instructions do not impact interoperability and compatibility with DOD automated information systems. Currently approved application titles may be obtained from RMAS Br.

16. Electronic vs. Other Media for Records Storage. Records may be stored on a variety of media including paper, microfilm, magnetic tape or discs, and optical digital data disks. Each medium has characteristics that may make it

suitable or unsuitable depending upon the requirements. See Appendix F to this enclosure for a comparison of these characteristics.

a. The medium and system chosen to store records should be compatible with the following requirements, at a minimum.

- (1) Quick retrieval of information.
- (2) Simultaneous access by more than one person to the information.
- (3) Retention of the information until the authorized disposition date.

b. During the time the information must be retained, it may be desirable or necessary to transfer it from one medium to another to reduce costs, ensure its continued availability, enhance its usefulness, or ensure its long-term preservation. Conversion projects should be undertaken only after considering the points below. If records are converted, care must be taken to ensure that the new records accurately reflect the information in the old ones.

- (1) Will the information be easier to use?
- (2) Will new equipment be required?
- (3) Will the conversion result in more cost-effective information management?
- (4) Will the ability to process the information be affected?
- (5) Will the exchange of information be affected?
- (6) Will the integrity of the records be enhanced or potentially degraded?
- (7) Will the new medium be satisfactory to NARA for permanent records? (See reference a.(1), part 1230, for microfilm and paragraph 1228.270 for magnetic and optical disk media. NARA does not accept permanent records on diskettes.)

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APPENDIX A TO ENCLOSURE E

DISPOSITION OF JOINT STAFF/COMBATANT COMMAND
ELECTRONIC RECORDS

1. General

a. Disposition refers to the actions taken when records are no longer needed for current Government business. This includes transfer to inactive storage facilities, transfer of permanent records to the National Archives of the United States, and disposal of temporary records. All disposition of Federal records requires prior authorization of the Archivist of the United States. No Federal record, including those on electronic media, may be destroyed without the Archivist's approval. The Archivist grants approval by signing a Standard Form (SF) 115, "Request for Records Disposition Authority" (see Annex A to this appendix), also known as a records schedule.

b. Securing disposition authority for--or scheduling--electronic records is similar to scheduling information stored on any other medium, such as paper or microfilm. As a result of scheduling, all records are identified as either temporary or permanent. Temporary records are those the Archivist approves for disposal, either immediately or after a specified retention period. Permanent records are those the Archivist appraises as having sufficient value to warrant continued preservation by the Government as part of the National Archives.

c. Electronic records are usually stored on erasable, reusable, and expensive media that are easy to revise and update and are relatively fragile. To avoid unnecessary costs, the disposition of electronic records should be determined as early as possible in their life cycle. Inventorying and scheduling are the most effective ways of ensuring records are maintained only as long as needed. The scheduling process can also serve as a catalyst for answering many management questions that should be considered when designing or updating an electronic information system, such as:

(1) What is the system's purpose?

(2) What inputs are needed and how long should they be retained? Are they needed for legal or audit purposes?

(3) What are the oldest data that need to be kept on line? When can data be written off line, and how long should data be retained off line?

(4) What should be done with the enormous volume of printouts generated by electronic systems?

(5) Will the systems produce computer output microform (COM)? If so, what happens to the data after the COM is produced? If the data must be manipulated in the future, why produce COM?

(6) Are multiple copies of the data needed? If so, in what media? What will happen to the different media?

(7) Which media containing data must be given special care to ensure preservation for long-term operational needs or for archival purposes?

2. Electronic Records Disposition Schedules

a. General Records Schedule (GRS). The GRS describes temporary records, including electronic records, that are common among most Federal offices and gives Federal agencies the authority to dispose of such records without further clearance from NARA.

(1) GRS 20. GRS 20, "Electronic Records," authorizes the disposal of electronic information that supports an agency's internal housekeeping activities and that is authorized for disposal in other media (e.g., paper, microfilm) by an item in another GRS. It also covers computer files that central data processing facilities create in the course of providing ADP services. These include most processing files, most computer system administrator's files, many files created from master files, and documentation relating to a disposable master file or database.

(2) GRS 23. GRS 23, "Records Common to Most Offices Within Agencies," covers electronic records produced in office automation applications. It authorizes the disposal of tracking and control files for disposable records, databases developed on personal computers to support administrative functions, and electronic word processing documents after the hard copy is generated and filed. If word processing documents replace previously scheduled hard copy records, GRS 23 authorizes the disposal of those documents after the approved time for the hard copy.

b. Joint Staff/Combatant Command Records Schedule. The current authority to dispose of Joint Staff/combatant command electronic records is contained in Volume II of this manual, Records Disposition Schedule. This schedule consists of a combination of disposition authorities from the GRS and disposition authorities approved by NARA via SF 115s. Information technology has been incorporated into this schedule in the disposition major category series 1000.

3. Scheduling Electronic Records

a. Inventorying Electronic Records. The first step in the electronic records disposition process is to inventory existing records and recordkeeping requirements. A records inventory is a survey identifying and describing records or records systems created or maintained by an organization or one of its components. An inventory includes information such as the series or system title, inclusive dates of the data, software and hardware used, office(s) of record, how and why the records were created, what information they contain, any restrictions on access, how they are used, and the required retention of the information (input documents, data, and output documents). See Annex B to this appendix for a sample electronic records inventory sheet.

b. Applying the Disposition Schedule. The second step in the disposition process is to determine whether the records and/or recordkeeping systems inventoried are already covered by the Joint Staff/Combatant Command Records Disposition Schedule or the GRS incorporated therein. Enclosure A of Volume II provides a subject index to facilitate this determination.

c. Scheduling Unscheduled Records

(1) The Joint Staff and combatant commands create large quantities of electronic records that are not covered by the disposition schedule at Volume II or the GRS incorporated therein. Some of these records have enough value to warrant permanent preservation in the National Archives. Such data must be retained until disposition authority has been provided and approved by NARA. Developing and implementing schedules for these records requires coordination among several agency officials: the records manager, records officer, and files custodian; information creators and users; and information system managers, both functional and technical.

(2) After identifying existing unscheduled electronic information by applying the Joint Staff/Combatant Command Records Disposition Schedule to the electronic records inventory, the value of the unscheduled information must be determined. The Joint Staff/combatant command OPR and system functional manager, in conjunction with system users, can best judge the usefulness of electronic records for current or future operations and determine how long the Joint Staff/combatant command will need to keep the information (and in what form) for operational, legal, administrative, or fiscal purposes. The Joint Staff/Headquarters Combatant Command Records Manager will then submit an SF 115, "Request for Records Disposition Authority," to RMAS Br, who will coordinate the request with NARA. NARA appraisers will review the retention recommendation and determine whether any of the records have enough potential value to warrant permanent preservation in the National Archives.

(3) Most records do not have sufficient value to warrant permanent preservation. Permanent records document substantive program functions of an agency or contain important and unique information about people, places, things, or events (i.e., the universe in which the Joint Staff/combatant command carries out its mission). NARA appraises electronic records according to the same general standards it applies to any other records; however, some special considerations apply. Statistical information acquires greater value when stored electrically because of the greater ease with which it can be manipulated. Consequently, some information that is appraised as disposable in paper format may be judged to have archival value when maintained as electronic data. The value of electronic data increases if it can be linked to other files by common data elements or if it represents an ongoing collection that can be studied over time.

d. Scheduling Program Records

(1) The disposition authority for all Joint Staff- and combatant command -unique program electronic records and electronic records systems must be reviewed and approved by NARA. For all Joint Staff/combatant command electronic records/systems not covered by an approved NARA disposition schedule, users must furnish a National Archives Form (NA) 14028, "Information System Disposition Authority," through the appropriate Joint Staff/Headquarters Combatant Command Records Manager to RMAS Br for submission to NARA. This form is designed especially for collecting the information needed to appraise the value of electronic records. Upon receipt of NA 14028, the RMAS Br will prepare SF 115 and forward it to NARA. RMAS Br has submitted SF 115s to NARA to obtain disposition authorization for many electronic records. (See Appendix E to this enclosure for an inventory of Joint Staff automated records.)

(2) NA 14028 can be obtained from RMAS Br, or it may be reproduced from the copy at Annex C to this appendix. Instructions for completing NA 14028 are on the reverse of the form. Additionally, the following information is required:

(a) At item 7, Information Content: Title of software and location of any documentation needed to read and understand the files; any restrictions on access to and use of the files--national security, privacy, or other.

(b) At item 8, Recommended Disposition: specific recommended disposition times for the inputs, the electronic data (including both processing and master files), and all outputs regardless of medium.

4. Identifying Permanent Electronic Records. Given the enormous variety of information stored in computer files, it is impossible to compile a complete list

of potentially permanent electronic records. The following examples provided by NARA are selective and intended merely to suggest the variety.

- a. Electronic records that replace records scheduled as permanent in another form, such as reports or indexes.
- b. Unique and important scientific and technical data resulting from observations of natural events or phenomena or from epidemiological or biomedical studies.
- c. Administrative data that have unusually broad coverage or significance, such as the budgets of entire departments.
- d. Socioeconomic data on such topics as education, health, or behavior.
- e. Natural resources data related to land, water, minerals, or wildlife.
- f. Emergency operations data that document military or civilian operations during times of war, civil emergency, or natural disaster.
- g. Political, survey, or judicial data related to such topics as elections, special investigations, or court proceedings.
- h. Geographic data used to map the surface of the earth, other planetary bodies, or the atmosphere.
- i. National security and international relations data that documents such activities as strategic or foreign policy assessments, intelligence collection, foreign public opinion, or international negotiations.

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INSTRUCTIONS

GENERAL

Use Standard Form 115 to obtain authority for the disposition of records. Submit two signed copies to the National Archives and Records Administration (NIR), Washington, DC 20408, and retain one copy as your suspense copy. NARA will later return one copy as notification of the items approved for disposal or archival (permanent) retention. This copy will also indicate any items withdrawn or disapproved. GAO's written approval must either accompany each SF 115 requiring Comptroller General concurrence or be requested prior to the submission of the SF 115 to NARA. The SF 115 may be accompanied by Standard Form 115A, Continuation Sheet, by schedule items entered on blank stationery formatted similar to the SF 115A, or by pages formatted to conform to the agency's published records disposition schedule.

SPECIFIC

Entry 1 should show the name of the Executive Branch department or independent agency, Legislative Branch agency, or the Administrative Office of the U. S. Courts for the Judicial Branch that is submitting the request.

Entries 2 and 3 should show the major and minor organizational subdivisions that create or maintain the records described on the form. If more than one subdivision maintains records described in the submission, the various office names should be specified in entry 8.

Entries 4 and 5 should provide the name and telephone number of the person to be contacted for information.

Entry 6 must be signed and dated by the agency official authorized to certify that the retention periods for records proposed for disposal are adequate to meet the agency's needs, and that GAO requirements have been met (check appropriate box). Unsigned SFs 115 will be returned to the agency.

Entry 7 should contain the item numbers of the records identified on the form in sequence, beginning with "1." Lower case letters and numbers may be used to designate subdivisions of an item (1a, 1b, 1b(1), 1b(2), etc.). Agency file numbers should not be entered in this column, but may be included in entry 8.

Entry 8 should describe the records to be scheduled. Follow these steps in describing the records:

(a) Include centered headings for groups of items to indicate the office of origin if all records described on the form are not those of the same office, or if they are records created by another office or agency such as, for example, records inherited from a defunct agency.

(b) Identify separate collections of nontextual records, such as photographs, sound recordings, maps, architectural drawings, or magnetic tapes or disks, as separate and distinct items. If such records are interspersed with textual records, as in case files, their presence should be noted in the description of the textual file.

(c) Describe completely and accurately each series of records proposed for disposal or transfer to the National Archives. See 36 CFR 1228 for more detailed requirements. Failure to comply with the provisions of that regulation will result in the return of the SF 115 for corrective action.

(d) Provide clear disposition instructions for each item and subitem. These instructions should include file breaks; the time after which records will be retired to Federal records centers, if applicable; for temporary records, the time after which they may be destroyed; and for archival (permanent) records, the time after which they will be transferred to the legal custody of the National Archives.

(e) If immediate disposal or transfer to the National Archives is proposed for non-recurring records, indicate the volume and inclusive dates of the records and the Federal records center accession and box numbers, if applicable.

(f) If future or continuing disposition authority is requested, state the retention period in terms of years, months, etc. or in terms of future actions or events. Ensure that any future action or event that must precede final disposition is objective and definite.

(g) If records are converted to electronic form, schedule both the original records and the electronic media, unless covered by the General Records Schedules.

(h) If permanent or unscheduled records are converted to microform, the disposition for both the original and microform copies must be approved on an SF 115. The SF 115 covering the microform must contain the certifications required by 36 CFR 1230. Approval is not required for the disposition of microform copies of records authorized for disposal, as specified in the regulation cited above.

Entry 9 must include the previous NARA disposition job and item numbers; General Records Schedule and item numbers, if applicable; and agency directive or manual and item numbers, if applicable, as required by 36 CFR 1228. If such information is missing from column 9, the SF 115 will be returned without action. Leave column 9 blank only if the records are being scheduled for the first time.

Entry 10 is for NARA use only and should be left blank.

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE OF
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
15-205			

Two copies, including original, to be submitted to the National Archives and Records Administration

STANDARD FORM 115-A (REV. 3-91)
Prescribed by NAR
36 CFR 122

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ANNEX B TO APPENDIX A TO ENCLOSURE E
SAMPLE ELECTRONIC RECORDS SYSTEM INVENTORY SHEET

1. SYSTEM TITLE:
 2. JOINT STAFF/COMBATANT COMMAND OPR:
 3. AUTHORITY:
 4. CLASSIFICATION:
 5. MEDIA: SIZE: UPDATE FREQUENCY:
 6. DATA:
 - a. DATA SOURCE:
 - b. DATA USE:
 - c. DESCRIPTION:
 - d. INCLUSIVE DATES:
 7. SOFTWARE SYSTEMS:
 8. HARDWARE SYSTEMS:
 9. DISPOSITION REQUIREMENTS--REQUIRED RETENTION OF ALL INFORMATION:
 - a. INPUT DOCUMENTS:
 - b. DATA:
 - c. OUTPUT DOCUMENTS:
 10. TECHNICAL POC:
 11. FUNCTIONAL POC:
 12. REMARKS:
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ANNEX C TO APPENDIX A TO ENCLOSURE E
NATIONAL ARCHIVES FORM 14028: "INFORMATION SYSTEM DESCRIPTION"

INFORMATION SYSTEM DESCRIPTION	
1. SYSTEM TITLE	2. SYSTEM CONTROL NUMBER
3. AGENCY PROGRAM SUPPORTED BY SYSTEM	4. PROGRAM AUTHORITY
5. SYSTEM DESCRIPTION	
5A. PURPOSE/FUNCTION OF SYSTEM	
5B. SOURCE(S) OF DATA <i>(Include Inputs from Other Systems)</i>	
5C. INFORMATION CONTENT	
5D. SYSTEM OUTPUTS <i>(Include Outputs to Other Systems)</i>	
6. NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM <i>(Include room numbers)</i>	
7. AGENCY CONTACTS. <i>(Names, Addresses, and Phone Numbers of System and Program Personnel who can provide additional information about the System and the Program it supports.)</i>	
8. PREVIOUS DISPOSITION JOBS.	
9A. PREPARER'S NAME	9B. OFFICE NAME AND ADDRESS
9C. PHONE NUMBER	
SIGNATURE	DATE

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

NA FORM 14028 (9-86)

Definition

An *Information System* is the organized collection, processing, transmission, and dissemination of information in accordance with defined procedures. NARA's concern is with the government information in the system, that is, with information created, collected, processed, transmitted, disseminated, used, stored, and disposed of by the Federal Government. An electronic information system includes the inputs and outputs that are generated, as well as the information on electronic media. The system may contain budgetary, fiscal, social, economic, scientific-technical or program-related data and information, operated in support of agency programs and management responsibilities.

Explanations

1. The commonly used name and acronym of the system [e.g., Budget System, Grain Monitoring System (GMS), etc.]
2. The internal control number assigned to the system for reference, control, or cataloging purposes [e.g., Information System Inventory Number, ADP Plan control number, etc.]
3. What agency programs or missions does the system support?
4. What laws, directives, etc., authorize these programs?
5. Description has the following sections:
 - a) *Purpose/Function*: The reasons for and the requirements met by the system.
 - b) *Sources of Data*: The primary sources or providers of data to the system [e.g., Broadcast License Holders, Corporations doing business in the US, etc.]. Does this system receive information from other systems, either from within or outside your agency?
 - c) *Information content*: The principal subject matter, data coverage, time span, geographic coverage, update cycle, whether the system saves superceded information, major characteristics of the system, and whether the system contain microdata or summary data.
 - d) *Outputs*: The principal products of the system, [e.g., reports, tables, charts, graphic displays, catalogs, correspondence, etc., and an indication of the frequency of preparation.] Is information from this system transferred to other systems?
6. and 7. Self explanatory.
8. Citations of previous NARA disposition jobs approving disposition of components [e.g., input forms, printouts, COM, output reports, etc.] of the system.
9. Self explanatory.

Note: Also identify –

- At item 7, the title of the software and location of any documentation needed to read and understand the files, and any restrictions on their access and use--national security, privacy, or other.
- At item 8, specific recommended disposition times for the inputs, the electronic data (including both processing and master files), and all outputs regardless of medium.

APPENDIX B TO ENCLOSURE E

TRANSFER OF PERMANENT ELECTRONIC RECORDS
TO THE NATIONAL ARCHIVES

1. Timing of Transfers

a. Permanent Electronic Records No Longer Needed. Permanent electronic records stored on magnetic tape, the medium recommended by NARA, should be transferred to National Archives storage space as soon as they are no longer needed for current operations. The useful life of magnetic tape is currently estimated at 10 years, a relatively short life span. Therefore, system managers are encouraged to transfer permanent electronic information directly to the National Archives when additions to the master file cease or after completing periodic snapshots of the data in a system.

b. Long-Term Local Storage of Magnetic Tape. If long-term storage of magnetic tape in Joint Staff/ combatant command areas is desired, an environmentally controlled area must be utilized. Joint Staff tapes should be maintained in the tape library of the Defense Information Systems Agency, Joint Command and Control Network, or other appropriate computer service center. Combatant commands should maintain tapes at the tape library of the appropriate computer service center. In all cases, the provisions of reference a.(1), paragraph 1234.30, apply.

2. Documentation. Current, up-to-date documentation is essential for transferring electronic records. At a minimum, the documentation for data files and databases will include the records layout and a codebook. The records layout is a diagram or list of the contents of a record that describes the information in each field and the length and position of each field. A codebook provides an explanation of the codes used to represent the information. For database management systems, essential documentation is a data dictionary or the equivalent information, including a description of the relations between data elements in relational databases.

3. Transfer Format and Media. To manage the problems created by diverse and incompatible electronic systems, NARA has standardized the computer formats and media it will accept. These standards apply equally to electronic documentation. (See reference a.(1), paragraph 1228.270, and reference c.)

a. Acceptable Format

(1) Electronic records being transferred to NARA must be written in a format that does not depend on specific hardware or software to decode it. Acceptable codes are the American Standard Code for Information Interchange

(ASCII) and the Extended Binary-Coded Decimal Interchange Code (EBCDIC). All extraneous control characters must be removed, except:

- (a) Record length indicators for variable length records.
- (b) Marks delimiting a data element, field, record, or file.
- (c) Standardized Markup Language tags.

(2) Data files and databases will be transferred as flat files or as rectangular tables, i.e., as two-dimensional arrays, lists, or tables. All records in a database should have the same logical format. Each data element within a record will contain only one data value. A record should not contain nested repeating groups of data items.

b. Acceptable Media. Media forms currently approved by NARA for electronic records transfer are as follows. NARA will copy the contents of the media at the time of accessioning and return the media to the transferring activity unless that activity indicates it does not want the media returned.

(1) Open Reel Magnetic Tape. "Open-reel magnetic tape shall be on 1/2 inch 9-track tape reels recorded at 1600 or 6250 bpi that meet ANSI X3.39-1986, American National Standard: Recorded Magnetic Tape for Information Interchange (1600 CPI, PE) or ANSI X3.54-1986, American National Standard: Recorded Magnetic Tape for Information Interchange (6250 CPI, Group Coded Recording), respectively." (Reference a.(1), paragraph 1228.270.)

(2) Magnetic Tape Cartridge.

(a) 18-Track 3480-Class. "Tape cartridges shall be 18-track 3480-class cartridges recorded at 37,871 bpi that meet ANSI X3.180-1990, American National Standard: Magnetic Tape and Cartridge for Information Interchange - 18-Track, Parallel, 1/2 inch (12.65 mm), 37871 cpi (1491 cpmm), Group-Coded - Requirements for Recording. The data shall be blocked at no more than 32,760 bytes per block." (Reference a.(1), paragraph 1228.270.)

(b) Digital Linear Tape (DLT) Type IV. DLT Type IV high-density magnetic cartridge tape was added to NARA's list of acceptable electronic records transfer media in November 2001. (Reference c.) DLT Type IV can store up to 40 gigabytes of information on each cartridge. Activities interested in using this media for records transfer should coordinate with the appropriate Joint Staff/Headquarters Combatant Command Records Manager, who will coordinate with NARA's Electronic and Special Media Records Services Division concerning technical limitations prior to initiating such a transfer.

(3) File Transfer Protocol (FTP). FTP, also added to NARA's list of electronic records transfer media in November 2001, is more a method than a media. It consists of special software located at the sending and receiving sites which, in combination with a telecommunications network, provides the platform for transferring electronic records. Several factors may limit the use of FTP, including security-classification, number and file size of records, and available bandwidth. Activities interested in using FTP for records transfer will coordinate the selection of files acceptable for transfer with the appropriate Joint Staff/Headquarters Combatant Command Records Manager, who will coordinate with NARA's Electronic and Special Media Records Services Division. (Reference c.)

(4) Compact Disk, Read Only Memory (CD-ROM). "CD-ROMs . . . must conform to ANSI/NISO/ISO 9660-1990, American National Standard for Volume and File Structure of CD-ROM for Information Exchange." If the records on a CD-ROM also exist on magnetic tape, NARA and the transferring activity will agree on the appropriate media for the transfer. (Reference a.(1), paragraph 1228.270.)

4. Processing Electronic Records for Transfer

a. Every transfer of electronic records to the National Archives must be accompanied by SF 258, "Agreement to Transfer Records to the National Archives of the United States," and current documentation. Documentation may be furnished on NA 14097, 14028, and 14012, or on equivalent reports. The completed form(s), documentation, and the electronic records themselves, in acceptable format and media, will be forwarded through the Joint Staff or Headquarters Combatant Command Records Manager to the Center for Electronic Records of the National Archives. The Center will sign the SF 258 and return a copy after internal processing is complete. See Annex A to this appendix for a checklist for electronic records transfer, Annex B for SF 258, Annex C for NA 14097, Annex D for instructions on preparing and shipping electronic records for transfer, and Annex E for NA 14012 and a discussion of documentation to accompany the transfer. For NA 14028, see Annex C to Appendix A to this enclosure.

b. The system manager will transfer only records from one series or data collection and/or from one records disposition schedule item at a time. This will allow for more efficient processing by NARA. The Joint Staff/Headquarters Combatant Command Records Managers will not accept transfers for processing to NARA that contain several series or data collections on the same tape or CD.

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ANNEX A TO APPENDIX B TO ENCLOSURE E

CHECKLIST FOR TRANSFER OF ELECTRONIC RECORDS
TO THE NATIONAL ARCHIVES

TRANSFER OF LEGAL CUSTODY

- () SF 258, "AGREEMENT TO TRANSFER RECORDS TO THE NATIONAL ARCHIVES OF THE UNITED STATES"

Prepare one SF 258 for each series of records, i.e., each group of records that is covered by one records schedule item. Complete blocks 2 and 4 through 14 using the instructions on the reverse of the form, except that **the Joint Staff or Headquarters Combatant Command Records Manager will sign block 2A.**

TECHNICAL DESCRIPTION

- () NA 14097, "TECHNICAL DESCRIPTION FOR TRANSFER OF ELECTRONIC RECORDS TO THE NATIONAL ARCHIVES," OR ITS EQUIVALENT
- () NA 14028, "INFORMATION SYSTEM DESCRIPTION," OR ITS EQUIVALENT

The information on NA 14097 and 14028 is required; however, the forms are optional. Prepare one NA 14097 for each file transferred and one NA 14028 for each system transferred, or provide equivalent reports containing all the information required on the forms. Reference a.(1), paragraph 1228.270 outlines technical information requirements. Generally, the activity responsible for physically maintaining electronic records will have this information (e.g., the system administrator or system programmer).

DOCUMENTATION

- () NA 14012, "RECORD LAYOUT," OR ITS EQUIVALENT
- () CODEBOOK(S)

The information on NA 14012 is required; however, the form is optional. At a minimum, documentation will consist of record layouts and codebooks. Documentation will vary from system to system and file to file; documentation in electronic form will be provided in that form.

ELECTRONIC RECORDS

Records must be in a format and on media acceptable to NARA as outlined in reference a.(1), Subpart L, paragraph 1228.270 (paragraph 3 and Annex D to Appendix B to this enclosure).

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ANNEX B TO APPENDIX B TO ENCLOSURE E

STANDARD FORM 258: "AGREEMENT TO TRANSFER RECORDS
TO THE NATIONAL ARCHIVES OF THE UNITED STATES"

AGREEMENT TO TRANSFER RECORDS TO THE NATIONAL ARCHIVES OF THE UNITED STATES		1. INTERIM CONTROL NO. (NARA Use Only)										
TERMS OF AGREEMENT <p>The records described below and on the attached _____ pages are deposited in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring agency certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552.</p> <p>In accordance with 44 U.S.C. 2108, custody of these records becomes the responsibility of the Archivist of the United States at the time of transfer of the records. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 36 CFR XOL 36 CFR Part 1258 and such other rules and regulations as may be prescribed by the Archivist of the United States (the Archivist). Unless specified and justified below, no restrictions of the use of these records will be imposed other than the general and specific restrictions on the use of records in the National Archives of the United States that have been published in 36 CFR Part 1258 or in the Guide to the National Archives of the United States. The Archivist may destroy, donate, or otherwise dispose of any containers, duplicate copies, unused forms, blank stationery, nonarchival print and or processed material, or other nonrecord material in any manner authorized by law or regulation. Without further consent, the Archivist may destroy deteriorating or damaged documents after they have been copied in a form that retains all of the information in the original document. The Archivist will use the General Records Schedule and any applicable records disposition schedule (SF 115) of the transferring agency to dispose of nonarchival materials contained in this deposit.</p>												
2A. AGENCY APPROVAL Signature _____ Date _____		3A. NARA APPROVAL Signature _____ Date _____										
2B. NAME, TITLE, MAILING ADDRESS 		3B. NAME, TITLE, MAILING ADDRESS 										
RECORDS INFORMATION												
4A. RECORDS SERIES TITLE 												
4B. DATE SPAN OF SERIES (Attach any additional description.) 												
5A. AGENCY OR ESTABLISHMENT 	9. PHYSICAL FORMS <table border="0"><tr><td><input type="checkbox"/> Paper Documents</td><td><input type="checkbox"/> Posters</td></tr><tr><td><input type="checkbox"/> Paper Publications</td><td><input type="checkbox"/> Maps and Charts</td></tr><tr><td><input type="checkbox"/> Microfilm/Microfiche</td><td><input type="checkbox"/> Archiving Drawings</td></tr><tr><td><input type="checkbox"/> Electronic Records</td><td><input type="checkbox"/> Motion/Sound/Video</td></tr><tr><td><input type="checkbox"/> Photographs</td><td><input type="checkbox"/> Other (specify): _____</td></tr></table>		<input type="checkbox"/> Paper Documents	<input type="checkbox"/> Posters	<input type="checkbox"/> Paper Publications	<input type="checkbox"/> Maps and Charts	<input type="checkbox"/> Microfilm/Microfiche	<input type="checkbox"/> Archiving Drawings	<input type="checkbox"/> Electronic Records	<input type="checkbox"/> Motion/Sound/Video	<input type="checkbox"/> Photographs	<input type="checkbox"/> Other (specify): _____
<input type="checkbox"/> Paper Documents	<input type="checkbox"/> Posters											
<input type="checkbox"/> Paper Publications	<input type="checkbox"/> Maps and Charts											
<input type="checkbox"/> Microfilm/Microfiche	<input type="checkbox"/> Archiving Drawings											
<input type="checkbox"/> Electronic Records	<input type="checkbox"/> Motion/Sound/Video											
<input type="checkbox"/> Photographs	<input type="checkbox"/> Other (specify): _____											
5B. AGENCY MAJOR SUBDIVISION 	10. VOLUME: _____ CONTAINERS: _____ Du. Mtr. _____ (Du. Ft. _____) Number _____ Type _____											
5C. AGENCY MINOR SUBDIVISION 	11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES 											
5D. UNIT THAT CREATED RECORDS 	12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE? <input type="checkbox"/> YES <input type="checkbox"/> NO <i>If no, attach limits on use and justification.</i>											
5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS Name: _____ Telephone Number: (_____) _____	13. ARE RECORDS SUBJECT TO THE PRIVACY ACT? <input type="checkbox"/> YES <input type="checkbox"/> NO <i>If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.</i>											
6. DISPOSITION AUTHORITY: 	14. ATTACHMENTS <table border="0"><tr><td><input type="checkbox"/> Agency Manual Exempt</td><td><input type="checkbox"/> Listing of Records Transferred</td></tr><tr><td><input type="checkbox"/> Additional Description</td><td><input type="checkbox"/> NA Form 14087 or Equivalent</td></tr><tr><td><input type="checkbox"/> Privacy Act Notice</td><td><input type="checkbox"/> Microform Inspection Report</td></tr><tr><td><input type="checkbox"/> Other (specify): _____</td><td><input type="checkbox"/> SF 115</td></tr></table>		<input type="checkbox"/> Agency Manual Exempt	<input type="checkbox"/> Listing of Records Transferred	<input type="checkbox"/> Additional Description	<input type="checkbox"/> NA Form 14087 or Equivalent	<input type="checkbox"/> Privacy Act Notice	<input type="checkbox"/> Microform Inspection Report	<input type="checkbox"/> Other (specify): _____	<input type="checkbox"/> SF 115		
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<input type="checkbox"/> Additional Description	<input type="checkbox"/> NA Form 14087 or Equivalent											
<input type="checkbox"/> Privacy Act Notice	<input type="checkbox"/> Microform Inspection Report											
<input type="checkbox"/> Other (specify): _____	<input type="checkbox"/> SF 115											
7. IS SECURITY CLASSIFIED INFORMATION PRESENT? <input type="checkbox"/> NO <input type="checkbox"/> YES LEVEL: <input type="checkbox"/> Confidential <input type="checkbox"/> Secret <input type="checkbox"/> Top Secret SPECIAL MARKINGS: <input type="checkbox"/> FOUO <input type="checkbox"/> SCI <input type="checkbox"/> NATO INFORMATION STATUS: <input type="checkbox"/> Other _____ <input type="checkbox"/> Segregated <input type="checkbox"/> Declassified	8. CURRENT LOCATION OF RECORDS _____ Agency (Complete 8A only) Federal Records Center (Complete 8B only)											
8A. ADDRESS 	8B. FRC ACCESSION NUMBER _____ CONTAINER NUMBER(S) _____ FRC LOCATION _____											
NARA PROVIDES												
15. SHIPPING INSTRUCTIONS TO AGENCIES/REMARKS REGARDING DISPOSITION 		16. NATIONAL ARCHIVES ACCESSION NO. 										
17. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES Signature _____ Date _____		18. NATIONAL ARCHIVES ACCESSION NO. 										
NATIONAL ARCHIVES AND RECORDS ADMINISTRATION Designed using Perform Pro, WISIDICK, Nov 98												
SF 258 (9/96) (80) Prescribed by NARA 36 CFR 1228												

INSTRUCTIONS

GENERAL: This form may be initiated by the transferring agency or the National Archives and Records Administration (NARA). Prepare a separate SF 258 for each series or SF 115 item being transferred.

WHEN INITIATED BY AN AGENCY: The agency completes blocks 2 and 4 through 14 using the instructions below. Block 2 must be signed and dated. Send the original to the appropriate address 60 days before the records are to be transferred to the National Archives.

WHEN INITIATED BY NARA: NARA completes blocks 1 and 4 through 14 and sends the original to the transferring agency's records officer. The agency completes block 2, completes or corrects blocks 4 through 14. Block 2 must be signed and dated. The agency sends the original to the appropriate address 60 days before the records are to be transferred to the National Archives.

MAILING ADDRESS: Mail the completed form to either the address below or to the appropriate National Archives regional archives.

Accessions Control Staff (NN-E)
Office of the National Archives
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740-6001

If you do not know the address of the appropriate regional archives, telephone the Accessions Control Staff at 301-713-6855.

* * *

1. **INTERIM CONTROL NUMBER:** Leave blank. NARA will fill in.

2. **AGENCY APPROVAL:** The agency records officer having the delegated authority to transfer the records with NARA should sign and date the form here (2A) and provide his/her name, title and mailing address (2B).

3. **NARA APPROVAL:** When a proposal to transfer records to the National Archives of the United States is approved, the appropriate NARA official completes 3A and 3B.

4A/B. **RECORDS SERIES TITLE/DATE SPAN OF SERIES:** The information provided should include a records series title, a statement of how the records are arranged, dates of coverage, and sufficient detail to describe the body of records being transferred. If access to the records is gained or facilitated through an index, box list, or other finding aid, include it with the records being transferred. Indicate the appropriate disposition authority number if the index is scheduled separately. If the records are in a Federal records center (FRC) attach each applicable SF 135, Records Transmittal and Receipt. For electronic records, describe any related documentation.

5. Fully identify the unit (5D) that created or organized the records. Usually this is not the agency's records management office. Place the creating unit within its organizational hierarchy (5A-5C). For example, the responsible unit is a branch (5D), within a division (minor subdivision) (5C), within an office (major subdivision) (5B), and within the agency or major component of a department (5A). Block 5A should be the official or legal name of the agency or bureau as published in the *U.S. Government Manual*. In block 5E include the name and telephone number (including the area code) of a person who should be contacted if NARA has any questions about the records. If the originating agency no longer exists, provide the name of the contact person at the successor agency.

6. **DISPOSITION AUTHORITY:** This citation must be included. It can be either the item number assigned to the records within a records disposition schedule (SF 115) approved by NARA or the item number assigned to the records within an agency records disposition manual based on a NARA-approved SF 115. If the agency manual number is used, attach a copy of the pertinent pages from the agency manual.

7. **IS SECURITY CLASSIFIED INFORMATION PRESENT?** If the records contain security classified information, check "Yes" and indicate the highest level of classification present. Indicate any additional applicable national security special access restrictions (e.g.,

Sensitive Compartmented Information - SCI or North Atlantic Treaty Organization - NATO). Restricted Data and Formerly Restricted Data - RD/FRD - refers to information subject to the Atomic Energy Act of 1954. Check "Segregated" to indicate that security classified records have been segregated from unclassified records or information subject to special access restrictions has been segregated from other classified information. Check "Declassified" to indicate whether any records have been declassified, and provide both the authority for declassification and a description of the declassified records.

8. **CURRENT LOCATION OF RECORDS:** Check the appropriate box for the current location of the records. If the records currently are in a Federal records center, complete 8B. If the records are located in the transferring agency or other location, complete 8A.

8A. For records located in the transferring agency or other location, provide a complete address.

8B. For records located in a Federal records center, name the center, provide the FRC accession number and container number(s), and the FRC location.

9. **PHYSICAL FORM(S):** Check all the boxes that apply to the records included in the transfer.

10. **VOLUME:** Include both the cubic feet of the records and the number and type of containers holding the records. For example:
Cu. Ft. 15; Number 15; Type FRC boxes.
Provide separate volume figures for each physical type of records, continuing on a separate sheet as necessary.

11. **DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES:** Indicate the date the records are eligible for deposit in the National Archives. This date is determined by the disposition instructions for each item in the approved SF 115 or agency manual.

12. **ARE THE RECORDS FULLY AVAILABLE FOR PUBLIC USE?** If the records are exempt from release pursuant to the FOIA, 5 U.S.C. §§2(b)(1)-(3) and (c)(1)-(3), this must be fully justified. List all exemptions that apply. If exemption (b)(1) is cited, complete block 7 accordingly. If (b)(3) is cited, include the full citation for the relevant statute. If the records are subject to copyright, identify affected items and the copyright holder.

13. **ARE THESE RECORDS SUBJECT TO THE PRIVACY ACT?** The National Archives is required to notify the public, through the *Federal Register*, when it takes custody of records subject to the provisions of the Privacy Act, 5 U.S.C. §52a. The originating agency should use this block to indicate whether the records covered by this SF 258 are part of a Privacy Act "system of records" and include a citation to and a copy of the Privacy Act notice published by the agency for the system. NARA will use the transferring agency's notice to inform the public, through the *Federal Register*, that the records have been transferred to the National Archives and that no further modification of them is possible.

14. **ATTACHMENTS:** Check the appropriate box(es) and indicate the attachment(s) being submitted with this form.

15. **SHIPPING INSTRUCTIONS TO AGENCIES/REMARKS REGARDING DISPOSITION:** NARA uses this space to provide shipping instructions relating to transfers.

16. **RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES:** The appropriate NARA representative signs block 16 after the records have been received at a NARA facility and NARA has confirmed that the records received are the records described in block 4. Transfers to NARA are not final until NARA has signed block 16. NARA sends the agency a copy of the completed form.

17. **NATIONAL ARCHIVES ACCESSION NO.:** NARA assigns this unique, permanent control number to each transfer of records.

ANNEX C TO APPENDIX B TO ENCLOSURE E

NATIONAL ARCHIVES FORM 14097: "TECHNICAL DESCRIPTION FOR
TRANSFER OF ELECTRONIC RECORDS TO THE NATIONAL ARCHIVES"

TECHNICAL DESCRIPTION FOR TRANSFER OF ELECTRONIC RECORDS TO THE NATIONAL ARCHIVES		
FILE IDENTIFICATION		
01. OFFICIAL FILE TITLE, COMMONLY USED IDENTIFIER, AND/OR DESCRIPTIVE TITLE:		02. ACRONYM ASSIGNED TO FILE:
03. RESTRICTIONS ON ACCESS:		
04. TITLE/DESCRIPTION OF DOCUMENTATION PROVIDED:		05. FORMAT OF DOCUMENTATION: <input type="checkbox"/> Paper <input type="checkbox"/> Electronic Format (Specify) <input type="checkbox"/> Other (Specify)
06. ELECTRONIC RECORDS SUBMITTED BY (Agency name and address):		07. IDENTIFY TECHNICAL CONTACT(S): Name: Phone:
FILE CHARACTERISTICS		
08. SHORT TITLE ON EXTERNAL LABEL:	10. STORAGE MEDIA UNIT VOLUME SERIAL NUMBER:	12. DENSITY (CPUs/MB):
09. RETURN STORAGE MEDIA TO AGENCY AFTER ARCHIVAL PROCESSING: <input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, Provide Address for Return (if different from item 06):	11. TYPE OF MEDIA PROVIDED: <input type="checkbox"/> Open Reel Magnetic Tape <input type="checkbox"/> 3480-Class Tape Cartridge <input type="checkbox"/> Other (Specify)	13. NUMBER OF TRACKS: <input type="checkbox"/> 7 <input type="checkbox"/> 9 <input type="checkbox"/> 18 <input type="checkbox"/> Other (Specify)
14. FILE ORGANIZATION ON STORAGE MEDIA: <input type="checkbox"/> One File on One Media Unit <input type="checkbox"/> One File on Multiple Media Units <input type="checkbox"/> Multiple Files on One Media Unit <input type="checkbox"/> Multiple Files/Multiple Media Units	15. REQUIRED LABEL (Internal Label) <input type="checkbox"/> IBM OS <input type="checkbox"/> IBM DOS <input type="checkbox"/> ANSI X 3.27 Standard <input type="checkbox"/> No Internal Labels <input type="checkbox"/> Other (Specify and Describe)	16. CHARACTER SET <input type="checkbox"/> ASCII <input type="checkbox"/> EBCDIC <input type="checkbox"/> BCD (7 track only) <input type="checkbox"/> Binary <input type="checkbox"/> Packed Decimal <input type="checkbox"/> Other (Specify)
17. DATE FILE COPIED:	18. INTERNAL FILE NAME/IDENTIFIER (aka Data Set Name):	19. SEQUENCE OF FILE ON STORAGE MEDIA UNIT: file _____ of _____
21. RECORD TYPE <input type="checkbox"/> Fixed Length (F) <input type="checkbox"/> Fixed Length Blocked (FB) <input type="checkbox"/> Other Than Fixed Length (Specify Format)	22. LENGTH OF LOGICAL RECORDS IN CHARACTERS OR BYTES:	24. NUMBER OF LOGICAL RECORDS:
	23. LENGTH OF PHYSICAL RECORDS IN CHARACTERS OR BYTES:	25. NUMBER OF PHYSICAL RECORDS (if applicable):
26. AGENCY COMMENTS:		
27. FORM PREPARED BY: Name:	Phone: ()	28. DATE FORM COMPLETED:

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

INSTRUCTIONS ON OTHER SIDE

NA Form 14097 (Rev. 5/92)

INSTRUCTIONS

General: The purpose of this form is to facilitate the transfer of electronic records with continuing or enduring value to the National Archives. A packet containing additional information on the transfer of electronic records is available from the National Archives. This form is not intended to take the place of other required documentation. FIPS PUB 20 contains a discussion of file documentation. Technical information describing each file is required by 36 CFR, but NA Form 14097 is optional. If there is an alternative reporting format that provides all of this required information, substitute the report for NA Form 14097. Include the required information as an attachment to the SF 258. A separate form should be completed for each file. If multiple files have very similar technical specifications, one form with an attachment that specifically identifies all of the files covered by the form may be used.

File Identification Sections

- 01. Official Title, Commonly Used Identifier, and/or Descriptive Title.** Enter the name by which the agency identifies the file. Consider how the title would appear in a bibliographic entry. If there is no official title, provide a descriptive title.
- 02. Acronym Assigned to File.** Enter the commonly used abbreviation or acronym as assigned by the agency. Often, the acronym as assigned by the agency. Often, the acronym will be used on the external (gummed) label of the storage media unit.
- 03. Restrictions on Access.** Specify any restrictions that apply to this file - cite FOIA exemption, and, if b (3), cite statute, indicate specific columns of types of records in the file that are affected; specify length of restriction on access and method of determining the date when restrictions end. If there are no applicable restrictions on access, please indicate.
- 04. Title/Description of Documentation Provided.** Documentation is required for all transfers of electronic records to the National Archives. Enter the title or description of the documentation provided by the agency for the file. Guidelines are available on the source and content of documentation. If any documentation is available in electronic form, include it in the transfer.
- 05. Format of Documentation Provide.** Mark all boxes that apply to the transfer with an "X". If "Electronic Format" is checked, include a technical description form for each documentation file in electronic format. If "Other" is checked, be as specific as possible in describing the documentation transferred.
- 06. Electronic Records Submitted by.** Enter the name and address of the agency that is responsible for the transfer.
- 07. Identify Technical Contact(s).** Identify the person who will respond to technical questions about the records if they arise during archival processing.

File Characteristics

- 08. Short Title on External Label of Storage Media Unit.** Enter the short title that appears on the external (gummed) label of the storage media unit(s).
- 09. Return Storage Media to Agency After Archival Processing.** The National Archives returns the reels or cartridges included in the transfer to the agency when two preservation copies have been created. Check "No" to indicate that the storage media should not be returned or provide an address for return shipment. If yes, Provide Address for Return (if different from Item 06).
- 10. Storage Media Unit Volume Serial Number.** Enter the volume serial number which uniquely identifies this tape/tape cartridge. If the file is recorded on multiple volumes, enter the first volume serial number in this item and list others, in sequence, in item 26.
- 11. Type of Media Provided.** To comply with the transfer standard identified in 36 CFR, a storage media unit should be an open-reel magnetic tape or 3480 tape cartridge. Enter an "X" in the appropriate box. If "Other" is checked, contact the National Archives prior to transfer and provide a specific identification of the storage media used for transfer.
- 12. Density (CPI/BPI).** Enter an "X" in the appropriate box to indicate characters or bytes per inch.
- 13. Number of Tracks.** Enter an "X" in the appropriate box. For 7 track tapes, indicate whether the parity is odd or even in Item 26.
- 14. File Organization on Storage Media.** If a single file on a single Unit." If a multi-volume file is described, check "One File on Multiple Media Units." If more than one file is on the storage media unit, check "Multiple Files on One Media Unit." If the transfer includes multiple files on multiple files on One media units, check "Multiple Files on Multiple Media Units."
- 15. Recorded Label (Internal Label).** Enter an "X" in the appropriate box. If "Other" is checked, provide a specific description of the internal labels in Item 26.
- 16. Character Set.** Enter an "X" in the appropriate box. If "Binary" or "Packed Decimal" is checked, indicate the characters (bytes) that are stored in those formats in Item 26.
- 17. Date File Copied.** Enter the date that appears on internal labels, if the files are labelled. This is the date the records were copied onto the storage media unit(s).
- 18. Internal File Name/Identifier (aka Data Set Name).** If there is a recorded label, enter the file identification (e.g., Data Set Name) used in the label. File Names in IBM standard labels should follow IBM DSN naming conventions.
- 19. Sequence of File on Storage Media Unit.** If this is the only file on the storage media unit, enter a "1." If the storage media unit contains multiple files, enter the file's position number on the storage media unit. See Item 14.
- 20. Number of Logical Records per Block (Blocking Factor).** If "Fixed Length" is checked in Item 21, enter the blocking factor.
- 21. Record Type.** Enter an "X" in the appropriate box. If "Other Than Fixed Length" is checked, a specific description of the format is very important, especially if the documentation provided does not contain a precise description. Use Item 26 to describe "Other" formats.
- 22. Length of Logical Records in Characters or Bytes.** Enter the logical record length in bytes or characters. If the record is not fixed length, enter the maximum size record, and describe techniques used to control and indicate size in Item 26.
- 23. Length of Physical Records in Characters or Bytes.** Enter the physical record length in bytes or characters. If the record is not fixed length, enter the maximum size record, and describe techniques used to control and indicate size in Item 26.
- 24. Number of Logical Records.** Enter the number of logical records in the file. This number is usually supplied by the program which created the file. Labels are not included in this count. If the last block is padded with blank records to fill out the block, please provide a total record count and a count of records that contain information.
- 25. Number of Physical Records (Blocks).** Enter the number of physical records (blocks). Labels are not included in this count.
- 26. Comments.** Provide additional information as necessary or desired. If the information pertains to another item on the form, identify the relevant item number. Files transferred to the National Archives should not be software-dependent in accordance with 36 CFR. If there are any exceptions to this, identify the release and/or level of any software required to read the file. Provide attachments if the information required will not fit in Item 26.
- 27. Form Prepared By.** Enter the name and phone number (including area code) of the individual who prepared this form.
- 28. Date Form Completed (YY/MM/DD).** Enter date this form was prepared.
-

ANNEX D TO APPENDIX B TO ENCLOSURE E

PREPARING AND SHIPPING ELECTRONIC RECORDS FOR TRANSFER

1. Formatting Electronic Records for Transfer. The standard format for the transfer of permanent archival electronic records to NARA's Center for Electronic Records is detailed in reference a.(1), paragraph 1228.270, and outlined below (see also paragraph 3 to Appendix B to this enclosure). The system manager will contact the applicable Joint Staff/Headquarters Combatant Command Records Manager if the records cannot be transferred in conformance with the instructions below, or if any questions arise about the transfer standards.

a. Transfer/Storage Media. NARA has identified 9-track open reel magnetic tape (new or re-certified) as the standard medium for transferring permanent electronic records; 18-track 3480-class magnetic tape cartridges and CD-ROMs conforming to ANSI standards are also approved storage media for transfer. FTP and DLT Type IV magnetic cartridge tape may be used upon coordination with NARA's Electronic and Special Media Service Division.

b. Character Code and Labels. Records must be in ASCII or EBCDIC with all extraneous control characters removed (except record length indicators for variable length records or marks designating a datum, word, field, block, or file). If the records are in ASCII, the electronic files should have standard ANSI labels as specified in Federal Information Processing Standards Publication (FIPS Pub) 79. If the records are in EBCDIC, the electronic files should have standard IBM OS or DOS labels. Standard format data set names must be included in the labels for the labels to be standard.

c. Block Size. For records that are blocked, the maximum block size is 32,760 characters (bytes) per block.

2. Reporting Requirements. When transferring electronic files to the National Archives, the system manager must provide the number of records, block size, record length, and format (e.g., fixed-length, variable blocked) for each file on each open reel magnetic tape, tape cartridge, or CD-ROM in the transfer and for each FTP transfer. Also, if the agency has electronic files containing documentation or other descriptive information pertaining to the data files, these descriptive files must be included in the transfer in electronic form. Examples of electronic documentation files are data dictionaries, format statements, and codebooks.

3. Shipping. The applicable Joint Staff/Headquarters Combatant Command Records Manager will coordinate all transfers of electronic records with the Center for Electronic Records of the National Archives.

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ANNEX E TO APPENDIX B TO ENCLOSURE E

DOCUMENTATION TO ACCOMPANY ELECTRONIC RECORDS FOR TRANSFER

1. General. Federal regulations require agencies to provide adequate documentation for each permanent electronic file they transfer to the Center for Electronic Records of the National Archives. Adequate documentation contains enough information to identify, service, and interpret the records. This annex provides guidance to Joint Staff/Combatant Command activities regarding the content and potential sources of adequate documentation for permanent electronic records.

2. Documentation Sources. Documentation information for electronic records may be found in publications, Privacy Act notices, administrative and annual reports, user notes, inventories, control systems, file descriptions, file and system manuals and guides, and manual or automated data dictionaries. Some documentation information may be in paper form only. The content of documentation is more important than the format; however, when the documentation is in electronic format, transfer the documentation data sets as separate files along with the data sets containing electronic records files. The transfer format standards for electronic records apply to documentation files. Microform copies of documentation, when available, are also useful.

3. Documentation Types. Documentation comprises three basic types of information: technical specifications, information about file structure and content, and context.

a. Technical. NA 14097 contains the technical specifications required for each file (Annex C to Appendix B to this enclosure). Use of this form is not required if the information it contains is documented in some other form.

b. File Structure and Content. Each file requires a specific definition of its structure and content. At a minimum this includes a record layout, a codebook for each file containing coded information, and a description of the methodology used to capture, create, and control the information.

(1) Record Layout

(a) The record layout provides the location, size, format, descriptive content, and when available the source of each field, column, or data element in each file. NA 14012, "Record Layout," contains this information. (See Figure E-B-E-1.) If an existing document contains the information needed for a record layout, completion of NA 14012 is not required.

RECORD LAYOUT							1. PAGE OF		
2. DATA SET TITLE			3. ACCESSION NO.		4. RECORD LENGTH		5. DATE PREPARED		
6. SYSTEM OR SERIES					7. PREPARED BY				
8. DEFINITION									
LINE NO.	DATA ELEMENT	FIELD LOCATION	CLASS A/N	SIGN (If nu- meric)	SIZE	TYPE OF DATA STANDARD	REFERENCE		NOTE
							IDENT. AND PAGE	LINE NO.	
a.	b.	c.	d.	e.	f.	g.	h.	i.	j.

Figure E-B-E-1. NA 14012: "Record Layout"

(b) For electronic text files that are not in fixed field formats, provide a narrative description of the format, as in the following example.

A series of correspondence files. Each file or data set contains one document. There is one 80-character record for each line of the document. The file names provide the date and source of each document. See the attached description of the file name format.

(2) Coded Information. The documentation should include all codes and other content descriptions for every item of coded information. If the codes are part of a readily available standard code, a reference to the applicable standard code will suffice. FIPS Pub 19, for example, is a catalog of widely used code sets. A citation to a code set should include the full title, volume, edition, and pages, when appropriate.

(3) Methodology

(a) Documentation of methodology describes how the agency captured, created, collected, processed, updated, revised, and/or controlled the information, and similar such factors. This includes describing both standard procedures and systems and any specific circumstances, events, unforeseen requirements, and/or constraints that affected the recording of the information during its life cycle.

(b) Basic forms of documentation of methodology include forms the agency used to collect information before entering it in the computer, instructions to people who filled out the forms, and/or instructions to those who entered information into the computer. Include one copy of each form and/or set of instructions. In addition, document any procedures used to control the quality of data. For example, systems manuals usually describe automated quality control procedures. Other methodological documentation may include a record of procedures by which the data was transformed such as routines that suppressed or aggregated data to protect privacy, any standards of accuracy and precision, and any limitations in the scope of record keeping, e.g., excluding cases which fail certain criteria.

(c) This kind of documentation is often much more difficult to define and locate than records layouts and codebooks. It might be found in project procedures for staffs who are responsible for maintaining the system from which the records originated, charts of information flow within a program, project justification documents, or other descriptions of the information compilation process. Include representations of all data collection and input forms or screens.

c. Contextual. Contextual information explains how the electronic records fit into the agency's programs or mission. This information responds to the questions: "Who created the records?" and "Why?" A possible element of contextual documentation might be the statutory authority for collecting the information. Another consideration is that the unit responsible for the content of the records might be different from the unit that actually created them. For example, a department may have made the decision to collect the information, which was subsequently collected by a lower level department or even a contractor. This kind of contextual information is important to anyone using the records at a later date.

4. Databases and Documentation

a. If a Joint Staff/combatant command activity transfers several data files containing related information, the documentation should include a description or diagram of how the files relate to each other. At a minimum, the documentation should specify the key fields that relate records in one file to records in another file. A description of such relationships might be phrased:

Column "DEPT.NUM" in the "EMPLOYEE" file links to
column "DPT.NO" in the "DEPARTMENT" file.

b. The automated data dictionary in a database management system contains portions of the documentation required to interpret files from a

database. This data dictionary includes descriptions that are often equivalent to a record layout. Transfer a copy of the data dictionary in electronic format according to the transfer standards in reference a.(1) paragraph 1228.270.

APPENDIX C TO ENCLOSURE E

ELECTRONIC RECORDS STANDARDS

1. FIPS PUBS. The National Institute of Standards and Technology has issued the following FIPS PUBS that are particularly relevant to records creation, storage, and transmission using personal computers or other electronic office equipment.

FIPS PUB # TITLE

- 31 Guidelines for Automatic Data Processing Physical Security and Risk Management
- 46-3 Data Encryption Standard
- 48 Guidelines on Evaluation of Techniques for Automated Personnel Identification
- 73 Guidelines for Security of Computer Applications
- 74 Guidelines for Implementing and Using the NBS Data Encryption Standard
- 81 DES Modes of Operation
- 83 Guideline on User Authentication Techniques for Computer Network Access Control
- 87 Guidelines for ADP Contingency Planning
- 173-1 Special Data Transfer Standard (SDTS)

2. ANSI. Environmental standards that apply to the operation, storage, and transportation of flexible disk cartridges are contained in the following ANSI.

ANSI # TITLE

- X3.39-1986 Recorded Magnetic Tape for Information Interchange (1600 CPI,
(R-1997) PE)
- X3.54-1986 Recorded Magnetic Tape for Information Interchange (6250 CPI,
(R-1997) Group Coded Recording)

<u>ANSI #</u>	<u>TITLE</u>
X3.73-1980 (R-1997)	Cartridge, Single-Sided Unformatted Flexible Disk (For 6631 BPR Use)
X3.82-1980 R-1996	Cartridge, One-Sided Single-Density Unformatted 5.25-Inch Flexible Disk
X3.121-1984 (R-1996)	Two-Sided Unformatted 8-Inch (200-mm) Double Density Flexible Disk Cartridge - General, Physical, and Magnetic Requirements (For 13,262 FTPR Two-Headed Application)
X3.125-1985 (R-1996)	Two-Sided Double-Density Unformatted 5.25-Inch (130 mm) 48 Tracks per Inch (1.9 Tracks per mm) Flexible Disk Cartridge - General, Physical, and Magnetic Requirements (For 7958 BPR Use)
X3.126-1986 (R-1997)	One- and Two-Sided Double-Density Unformatted 5.2-Inch (130-mm) 96 Tracks per Inch (3.8 Tracks per mm) Flexible Disk Cartridge - General, Physical, and Magnetic Requirements (for 7958 BPR Use)
X3.180-1990 (R-1996)	Information Systems - Magnetic Tape and Cartridge for Information Interchange - 18-Track, Parallel, 1/2-inch (12.65 mm), 37 781 cpi (1491 cpmm), Group-Coded - Requirements for Recording

APPENDIX D TO ENCLOSURE E

USE OF OPTICAL DISK SYSTEMS TO STORE JOINT STAFF/
COMBATANT COMMAND RECORDS

1. General. This appendix defines Joint Staff/combatant command policy regarding the use of optical disk technology to store both temporary and permanent records. A growing number of Joint Staff/combatant command activities have begun using optical disk systems to store records. This technology is having a revolutionary impact on the storage and retrieval of large quantities of information. Acquisition of this system is encouraged wherever cost effective.

2. Definitions. An optical disk is defined as a noncontact, random-access disk tracked by optical laser beams and used for mass storage and retrieval of digitized text and graphics. Optical disks are sometimes called optical digital disks or optical digital data disks. The two types of optical disk are:

a. Read-Only Optical Media. Read-only optical media provide playback of information mastered onto the media during the manufacturing process. They have no recording capabilities. They include:

(1) Laser Disks. 8" and 12" formats that store still or moving video analog images and stereo audio.

(2) Compact Disks (CDs). 4.75" formats that store digital audio, video, or text, referred to as CD-ROM (CD-read only memory) and DVD (digital video disk).

b. Read/Write Optical Media. Read/write optical media support both recording and playback of information. They include:

(1) WORM (write once read many).

(2) CD-RW (CD-read/write).

(3) CD-I (CD-interactive).

3. Use of Optical Disks to Store Temporary Records. Joint Staff/combatant command activities may use optical disk technology for all records authorized for disposal in the current files area consistent with the life span of the disk medium itself. Records appraised by NARA as temporary may be stored on any medium, including optical disk, that ensures maintenance of the information until its authorized disposal, i.e., conversion of temporary records

to optical disk and disposal of the original paper or other media do not require NARA's approval.

4. Use of Optical Disks to Store Permanent Records.

a. NARA can accession permanent records transferred on CD-ROM using the specifications contained in reference a.(1), paragraph 1228.270. However, no permanent records may be destroyed after copying onto an optical disk without NARA's approval. Normally, after permanent records have been copied onto an optical disk, they should be transferred to the appropriate inactive storage facility (for the Joint Staff, to NARA, the WNRC, or Site R). Joint Staff/combatant command activities seeking authorization to destroy permanent records after copying onto optical disks must submit their requirements to RMAS Br through the appropriate Joint Staff/Headquarters Combatant Command Records Manager. RMAS Br will coordinate with NARA regarding approval of such requests.

b. Analog videodiscs that typically contain photographs are another type of optical disk that can be accessioned by NARA provided no interactive software or nonstandard equipment is required to read them. Original photographs appraised as permanent and copied onto a videodisc must be scheduled for transfer to NARA together with a copy of the videodisc. Likewise, compact disks used for digital audio playback may be transferred because they use a standard player and require no special software to use.

5. NARA Actions. NARA recognizes the potential benefits of optical disk technology for storing and retrieving large quantities of information, and will continue to monitor developments in optical disk technology that may permit broader accession of optical disks.

APPENDIX E TO ENCLOSURE E

INVENTORY OF JOINT STAFF AUTOMATED RECORDS

The following is a list of Joint Staff automated records. Combatant commands will develop their individual listings for internal use as a supplement to this manual.

<u>FILE CODE</u>	<u>FILE NAME</u>	<u>TYPE/DISPOSITION CATEGORY NUMBER</u>
ANA	ANGLO-NORTH AMERICAN FILE OPR: J-3/CSOD	Being appraised by NARA (Permanent) 515 Series
APORTS	AERIAL PORTS AND AIR OPERATING BASES FILE OPR: J-3/CSOD	Temporary 515 Series
ATS	ACTION TRACKING SYSTEM NEW SYSTEM OPR: SJS/AD (Replaces APCS & JAMS)	New system 0000 Series
BDI	BLUE DATA INVENTORY FILE - 1965 OPR: J-3/CSOD	Being appraised by NARA (Permanent) 515 Series
BFSTL	BLUE FUTURE STRATEGIC TARGET LIST FILE - 1968 OPR:	Being appraised by NARA (Permanent) 515/525
C3SPED	CMD, CTRL, COM SYS PERF EVAL DATABASE OPR: J-6	Temporary 525 Series
C3SPPDB	C3S PLANNING AND PROG DATABASE OPR: J-6	Temporary 525 Series
CABS	COMPTROLLER'S ANNUAL BUDGET SYSTEM OPR: JOINT STAFF/COMBATANT COMMANDER/COMPTROLLER	New system 607 Series
CAWSS	CRISIS ACTION WEATHER SPT SYS (NESS/SOLAR) OPR: J-3	Temporary 538 Series
CIMS	CJSC INFORMATION MANAGEMENT SYSTEM OPR: SJS/OES	Being appraised by NARA (Permanent) 007 Series

<u>FILE CODE</u>	<u>FILE NAME</u>	<u>TYPE/DISPOSITION CATEGORY NUMBER</u>
CMEMO	CHAIRMAN MEMO OPR: SJS/OES	New system 007 Series
CNVFL	SVC FACILITY TO JCS FACILITY CAT CODE CONVR OPR: J-4/LRD	Program 515 Series
CSS	CONVENTIONAL SUPPORT SYSTEM DATABASE OPR: J-3/CSOD	Being appraised by NARA (Permanent)
DDRS	DOC DECLASSIFICATION REPORT SYS FILE OPR: SJS/DOC DIV/IRAD BR	Temporary 423 Series
EMAS	EXERCISE MESSAGE ANALYSIS SYSTEM FILE OPR: J-7/JED	Temporary 508 Series
ERROR	ERROR FILE (ERROR 1 & 2) PROGRAM OPR: J-3/JRC	Program 513 Series
ETDI	EURASIA TARGET DATA INVENTORY FILE OPR: J-3/CSOD	Being appraised by NARA (Permanent) 515/524 Series
EVAC	EVACUATION FILE OPR: J-3/JOD	Temporary 516 Series
FADS	FOREIGN AREA DATA SYSTEM FILE OPR: J-3/SOD	Being appraised by NARA (Permanent) 505 Series
FFW	FOREIGN FREE WORLD FILE OPR: J-3/CSOD	Temporary 522 Series
FMA	FOREIGN MEDIA ANALYSIS FILE (DATABASE) OPR: J-3/SOD	Being appraised by NARA (Permanent) 505 Series
FOILS	FREEDOM OF INFORMATION LIBRARY SYSTEM OPR: SJS/DOC DIV/IRAD BR	Temporary 413 Series
FORDTIS	FOREIGN DISCLOSURE AND TECHNICAL INFO SYS OPR: J-5/ODSM	Temporary 808 Series

<u>FILE CODE</u>	<u>FILE NAME</u>	<u>TYPE/DISPOSITION CATEGORY NUMBER</u>
FORECASTS	FORECASTS INFORMATION SYSTEM FILE OPR: J-5/ODSM	Being appraised by NARA (Permanent)
GAZETTEER	GAZETTEER OPR: J-3/CSOD	Being appraised by NARA (Permanent)
GCCS/ WWMCCS	GLOBAL COMMAND AND CONTROL SYSTEM/WORLD-WIDE MILITARY COMMAND AND CONTROL SYSTEM OPR:	Permanent 525 Series
GEOFILE	SPECIFIED GEOGRAPHIC LOCATION FILE OPR: J-3/CSOD	Being appraised by NARA (Permanent) 515/526-1 Series
GWC	WIND FILES (SIDAC MODEL) OPR: J-3/STRA	Temporary 522 Series
GWESS	GCCS/WWMCCS ENVIRONMENT SUPPORT SYSTEM DATABASE OPR: J-3	Temporary 538 Series
HRCONA	HISTORICAL MISSION FILE OPR: J-3/JRC	Temporary 513 Series
HRTRKA	HISTORICAL TRACT FILE OPR: J-3/JRC	Being appraised by NARA (Permanent) 519 Series
ICAO	INTERNATIONAL CIVIL AVIATION ORGANIZATION REFERENCE FILES OPR: J-3/JRC	Temporary 513 Series
IGIW	INDEXES OF GENERAL INDUSTRIAL WORTH FILE OPR: J-3/CSOD	Temporary 522 Series
INTMOD	INTEGRATION MODEL DATABASE FILE OPR: J-8	Being appraised by NARA (Permanent) 507 Series

<u>FILE CODE</u>	<u>FILE NAME</u>	<u>TYPE/DISPOSITION CATEGORY NUMBER</u>
ISRSIN	INTERIM STORAGE/RETRIEVAL SYSTEM FOR INTL NEG OPR: J-5/NMD	Being appraised by NARA (Permanent) 803 Series
JAD	JOINT RESOURCES ASSESSMENT DATABASE FILES OPR: J-3/CSOD	Being appraised by NARA (Permanent) 522 Series
JCIM	JOINT CONFIGURATION INVENTORY MANAGER OPR: J-8/ITD	Temporary 607 Series
JDS	JOINT DEPLOYMENT SYSTEM DATABASE PROGRAM OPR: J-3/CSOD	Program 507 Series
JMAS	JOINT MANPOWER AUTOMATION SYSTEM OPR: J-1	New system
JOPEs	JOINT OPERATIONS PLANNING AND EXECUTION SYSTEM OPR:	New system
JMH	JOINT STAFF/COMBATANT COMMAND MESSAGE HANDLER OPR: DIRM/OD	Temporary 705 Series
JSPSD	JOINT STRATEGIC PLANNING SYSTEM DOC INV OPR: SJS/DOC DIV/RMAS BR	Temporary 521 Series
JTMD	JOINT TERMINOLOGY MASTER DATABASE OPR: J-7/JOINT DOCTRINE DIVISION	
JULLS	JOINT UNIVERSAL LESSONS LEARNED SYSTEM OPR:	New system
JWDF	JFIDS WEAPON DATA FILE OPR: J-5/ODSM	Being appraised by NARA (Permanent) 530 (new) Series
LERTCOM	JCS ALERT SYSTEM OPR: J-3/NOCCD	Being appraised by NARA (Permanent) 527 Series

<u>FILE CODE</u>	<u>FILE NAME</u>	<u>TYPE/DISPOSITION CATEGORY NUMBER</u>
LOCAL	LOCAL AREA WEATHER ROUTINE OPR: J-3	Temporary 538 Series
MAPIS	MANPOWER AND PERSONNEL INFO SYSTEMS MASTER FILE OPR: J-1/PSD	Temporary 108 Series
MDF	MANPOWER DATA FILE OPR: J-1/NMD	Temporary 108 Series
MEQPT	MAJOR EQUIPMENT INFORMATION CODE/MAJOR ITEM OF EQUIPMENT OPR: J-3/CSOD	Temporary 515 Series
MIS1-MIS2	MISCELLANEOUS BULLETIN FILE OPR: J-3	Temporary 538 Series
MSGIN	MESSAGE IN FILE OPR: J-3/JRC	Temporary 513 Series
MSGOUT	MESSAGE OUT FILE OPR: J-3/JRC	Temporary 513 Series
NC002	NUCLEAR CAPABILITY SYSTEM OPR: J-3/STRA	Being appraised by NARA (Permanent)
NICKA	NICKNAME CODEWORD AND EXERCISE TERM OPR: J-3/CSOD	Being appraised by NARA (Permanent)
NIDMS	NMCS INFO FOR DECISION MAKERS DATABASE OPR: J-3/CSOD	Being appraised by NARA (Permanent)
NIDS	NMCS INFORMATION AND DISPLAY SYSTEM OPR: J-3/CSOD	Temporary 706 Series
NOTE	NOTICE BULLETIN FILE OPR: J-3	Temporary 538 Series
NPDS	NMCS PROCESSING AND DISPLAY SYSTEM DATABASE OPR: J-3/NOCCD	Temporary 707 Series
NTB	NATIONAL TARGET BASE OPR: J-3/NOD	Temporary 522 Series

<u>FILE CODE</u>	<u>FILE NAME</u>	<u>TYPE/DISPOSITION CATEGORY NUMBER</u>
NUCWA	NUCLEAR WEAPONS ACCOUNTING SUBSYSTEM OPR: J-3/STRA	Being appraised by NARA (Permanent)
OASIS	OPERATIONS ANALYSIS AND SIMULATION INTERFACE SYSTEM OPR: J-8	New system 500 Series
OB	ORDER OF BATTLE FILES OPR: DIA & J-3/NOD	Temporary 522 Series
OBS	OBSERVATION FILE OPR: J-3	Temporary 538 Series
ONLEXKED	ON-LINE EXERCISE SCHEDULE OPR: J-7/JED	Temporary 508 Series
ONLRAPS	ON-LINE REMEDIAL ACTION PROJECT OPR: J-7/JED	Temporary 508 Series
ONLXEVT	ON-LINE EXERCISE EVENTS OPR: J-7/JED	Temporary 508 Series
PAIS	PHYSICAL ACCESS INFORMATION SYSTEM FILE OPR: DIRM	Temporary 305 Series
PBS	PROGRAMMING AND BUDGET SYSTEM OPR: JOINT STAFF/COMBATANT COMMANDER/COMPTROLLER	New system 608 Series
PDPRS	PRE - 1967 DECISION PAPERS RES SYS DATABASE OPR: SJS/DOC DIV/RAIR BR	Being appraised by NARA (Permanent)
PEAS	PSYOP EFFECTS ANALYSIS SYSTEM OPR: J-3/SOD	Being appraised by NARA (Permanent)
PERMIS	NOCMIS PERMISSION FILE OPR: J-6	Temporary 525 Series
PIF	PLANT INVENTORY FILE OPR: J-3/CSOD	Temporary 522 Series

<u>FILE CODE</u>	<u>FILE NAME</u>	<u>TYPE/DISPOSITION CATEGORY NUMBER</u>
PIPS	PLANS INTEGRATION PARTITIONING SYS DTBS OPR: J-3/CSOD	Temporary 511 Series
PLNGFAC	PLANNING FACTORS FILE OPR: J-4/LRD	Program 515 Series
POM	POM FILES OPR: J-8	Being appraised by NARA (Permanent)
PORTS	PORTS CHARACTERISTICS FILE OPR: J-3/CSOD	Temporary 515 Series
PROCONA PAST	PAST MISSION FILE OPR: J-3/JRC	Being appraised by NARA (Permanent)
PUBS	ELECTRONIC PUBLICATION DISTRIBUTION SYS OPR: J-8/ITD	New system
QSAVE	QSAVE (NPDS) OPR: J-3/NOCCD	Temporary 707 Series
QUICK	QUICK DATABASE OPR: DISO/JISC	Being appraised by NARA (Permanent)
RCONA	RIS MISSION FILE OPR: J-3/JRC	Temporary 513 Series
RECA	RESIDUAL CAPABILITY SYSTEM DATABASE OPR: J-3/SOD	Being appraised by NARA (Permanent) 508 Series
RFSTL	RED FUTURE STRATEGIC TARGET LIST OPR: J-3/NOD	Being appraised by NARA (Permanent)
RMCS	RESOURCE MONITORING CONTROL SYSTEM OPR: J-5	Being appraised by NARA (Permanent)
RNICA	RIS NICKNAME FILE OPR: J-3/JRC	Being appraised by NARA (Permanent)
RNJP	REGISTER OF NUMBERED JCS PAPERS FILE OPR: SJS/DOC DIV/RAIR BR	Permanent 019 Series

<u>FILE CODE</u>	<u>FILE NAME</u>	<u>TYPE/DISPOSITION CATEGORY NUMBER</u>
ROE	RULES OF ENGAGEMENT OPR: J-3/RPD	Temporary 527 Series
RTRKA	RIS TRACK FILE OPR: J-3/JRC	Temporary 513 Series
SCHEDOUT	WWMCCS SITE SCHEDULED OUTAGE DATABASE OPR: J-6	Temporary 525 Series
SDF	STANDARD DISTANCE FILE OPR: J-3/NOD	Software 515 Series
SDTA	STRATEGIC DEFENSE & THREAT ASSMNT DATABASE OPR:	Temporary 517 Series
SEA	SEA-STATE BULLETIN FILE OPR: J-3	Temporary 538 Series
SECURE	SECURE (NPDS) OPR: J-3/NOCCD	Temporary 707 Series
SIDA	SINGLE INTEGRATED DATABASE OPR: J-3/NOCCD	Being appraised by NARA (Permanent) 530 Series
SLIST	STATION LIST FILE OPR: J-3	Temporary 538 Series
SMIS	SUPPLY MGMT INFO SYS MASTER FILES OPR: DIRM	Temporary 613 Series
SOAF	STATUS OF ACTION FILE MAINTENANCE & RETRIEVAL SYSTEM OPR: J-3	Temporary 512 Series
SOFAR	SOVIET OFNSV FRCS ANALYSIS & RETRIEVAL OPR: J-3	Being appraised by NARA (Permanent) 803 Series
SORTS	STATUS OF RESOURCES AND TRAINING SYS OPR:	Temporary 515 Series
SRF	SUMMARY REFERENCE FILE OPR: J-3/CSOD	Temporary 515 Series

<u>FILE CODE</u>	<u>FILE NAME</u>	<u>TYPE/DISPOSITION CATEGORY NUMBER</u>
SURF	SURF BULLETIN FILE OPR: J-3	Temporary 538 Series
SW01-SW08	STAFF WEATHER OFFICER BULLETIN FILE OPR: J-3	Temporary 538 Series
TAFS	THE AERODROME FORECAST FILE OPR: J-3	Temporary 538 Series
TER1-TER2	TIME-EN ROUTE BULLETIN FILE OPR: J-3	Temporary 538 Series
TPFDD	TIME-PHASED FORCE DEPLOYMENT DATA FILE OPR: J-3/CSOD	Temporary 515 Series
TUCHA	TYPE UNIT DATA FILE (TYPE REP) OPR: J-3/CSOD	Temporary 515 Series
TUDET	TYPE UNIT EQUIPMENT DETAIL FILE OPR: J-3/CSOD	Temporary 515 Series
UNITREP	UNIT STATUS AND IDENTIFY REPORT OPR: J-3/CSOD	Temporary 515 Series
USMTF	US MESSAGE TEXT FORMATTING OPR: J-3/READINESS	Temporary 525 Series
UCFF	UTC CONSUMPTION FACTORS FILES OPR:	Temporary 515 Series
UTM-GEO	UNIVERSAL TRANSVERSE MERCATOR-GEO CONVERSION OPR: J-3/CSOD	Temporary 516 Series
W/WPOP	WORLD-WIDE POPULATION PROJECT FILE OPR: J-3/CSOD	Temporary 522 Series
WDBII	WORLD DATABASE II OPR: JDSSC	Being appraised by NARA (Permanent)
WND1- WND3	WIND BULLETIN FILE OPR: J-3	Temporary 538 Series
WTRK	PROPOSED TRACK FILE OPR: J-3/JRC	Temporary 513 Series

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APPENDIX F TO ENCLOSURE E

COMPARISON OF MEDIA FOR INFORMATION STORAGE AND RETRIEVAL

CHARACTERISTICS	MEDIUM				
	Paper	Microform	Magnetic Tape	Diskette	Optical Digital Data Disk (Read Only)
1. Life expectancy?	Very good if paper quality, ink, and storage conditions good (70-100 years).	Very good if properly processed and stored. (Silver: 100s of years. Diazo and vesicular: 100 years.)	Good. Subject to equipment malfunction or magnetic erasure (10-12 years with periodic exercise).	Good. Subject to equipment malfunction or magnetic erasure (10-15 years).	Manufacture claims are 10 years.
2. Acceptable for transfer of permanent records to NARA?	Yes	Yes if silver halide.	Yes	No	No
3. Special equipment required to read?	No	Yes for normal operation. Simple optics will suffice in emergencies.	Yes	Yes	No
4. Data easy to alter unnoticed?	No	No	Yes	Yes	No
5. Data easy to accidentally destroy?	No	No	Yes	Yes	No
6. Complex indexing easy to accomplish?	No	No (yes if computer assisted retrieval systems is used.)	Yes with special software.	Yes with special software.	Yes with special software.
7. Data easy to retrieve?	Small volume: yes. Large volume: no.	Depends on indexing and labeling scheme. Computer assisted retrieval very helpful for large collections	Yes if properly indexed.	Yes if properly indexed.	Yes if properly indexed.
8. Data easy to electronically process after retrieval?	No	No	Yes	Yes	Machine readable: yes. Raster scan: no.

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ENCLOSURE F

JOINT STAFF/COMBATANT COMMAND FILING SYSTEM

1. General. The Joint Staff/Combatant Command Filing System provides for identification and division of Joint Staff and combatant command records into distinct categories, referred to as series, to facilitate referencing and disposition. Volume II of this manual contains the series identification, file number descriptions, and complete instructions for retention and disposition for all Joint Staff/combatant command files.

2. Files Management and Control. The success of any filing system depends on successful execution of several basic steps, referred to as files control. These steps consist of identifying and listing files, preparing guides and folders, preparing materials for filing, locating materials and charging them out to users, keeping files orderly, and transferring or destroying files in accordance with approved disposition standards. This enclosure contains detailed guidance on files control. Appendix A to this enclosure provides a files management checklist; Appendix B, a matrix converting disposition standards to instructions; and Appendices C through G, other forms and formats helpful to files control.

3. Numbering Joint Staff/Combatant Command Functional Files

a. Major Functional Series. The Joint Staff/Combatant Command Filing System identifies and arranges records in accordance with the functions performed by the Joint Staff and combatant commands rather than by organizational relationships. Twelve major functional series are currently identified. (See Figure F-1.)

Series	Content
0000	Corporate Joint Staff & Headquarters Combatant Command Records
0001	Organization & Manpower
0002	Personnel/Payroll
0003	Intelligence & Security
0004	Information & Legal
0005	Operations, Planning, Command, & Control
0006	Logistics, Supply, Services, & Budget
0007	Communications & Electronics
0008	International
0009	General Administration & Management
1000	Info Technology Procurement, Planning, Operations, & Management
1100	Medical

Figure F-1. Joint Staff/Combatant Command Filing System Major Series

b. Subfunctional Groupings. The major functional areas are further divided into subfunctional groups. A dash is then employed to indicate different types and/or uses of records within subfunctional areas and to directly correlate each to a specific disposition standard. (See Figure F-2.)

Filing System Element	File Number	Content
Functional Series	0000	Corporate Joint Staff and Headquarters Combatant Command Records
Subfunctional Group	0013	Instructions, manuals, and notices containing statements of policy and procedural information approved by the Chairman of the Joint Chiefs of Staff and issued for the guidance of the Joint Staff, combatant commands, and Services
Subfunctional Areas and Disposition Instructions	0013-01	Which are: maintained by R&M Br as the official JS record copy <i>After incorporation into the official JS case file, disposition is in accordance with 0001-01</i> <i>Authority: NC1-218-84-1 item 53</i>
	0013-02	Which are: the duplicate set of records retained for relocation and reconstitution (R&R) purposes at the R&R Section, Ft Ritchie, MD <i>Retain until superseded or cancelled, hold for 5 years, then destroy/delete</i> <i>Authority: N1-218-86-1 item 11</i>
	0013-03	0013-03 Reserved
	0013-04	Which are: maintained by any activity in a reference library (nonrecord) <i>Retain until superseded or cancelled, then destroy/delete</i>

Figure F-2. Joint Staff/Combatant Command File Number Composition

c. Office-Specific Subdivisions

(1) To allow maximum flexibility in establishing specific files suited to the needs of each office within the Joint Staff/combatant commands, the RMAS Br does not designate specific functional files for each office. Rather, every office

will, based on functions performed and records held, choose appropriate file numbers from the Joint Staff/Combatant Command Records Disposition Schedule and assign those numbers to the files maintained in the office.

(2) After choosing the appropriate major series, subfunctional groups/areas, and disposition standards, the disposition standards can be further divided as needed to allow easy maintenance and retrieval in the series. Alphabetical or numerical divisions can be used by placing a period followed by a number and/or letter to indicate the specific item or items under the appropriate disposition standard. Another method is to list the items in alphabetical order under the standard. (See Figure F-3.)

File Number and Specific Disposition Standard from Joint Staff/Combatant Command Records Disposition Schedule		
0916-01 Action Officer Case Files <i>Review annually, purging extraneous papers and duplicate copies. Those background materials pertaining to official actions will be incorporated into the official JS/combatant command case file. Other materials may be destroyed/deleted when no longer needed for continuing guidance or reference. Exception: NATO documents no longer needed for reference will be disposed of in accordance with the appropriate 0801 category number and USSAN 1-69. Authority: N1-218-86-1 item 128</i>		
Sub-Division Options		
Numeric	Alpha-Numeric	Alphabetical
0916-01.1 Nuclear Weapons in Europe	0916-01.1 Nuclear Weapons in Europe	Airplanes in Asia
0916-01.2 Airplanes in Asia	0916-01.2 Airplanes in Asia	B-47s
0916-01.2.1 C-121s	0916-01.2A C-121s	C-121s
0916-01.2.2 B-47s	0916-01.2B B-47s	Nuclear Weapons in Europe

Figure F-3. Office-Specific File Numbering Options

4. Grouping Files. Most files fall into one of three basic file groups: subject, case, and reference.

a. Subject Files. Subject files are appropriate when a specific functional area is addressed and the file provides complete documentation on that given subject.

b. Case Files. Case or project files contain material relating to a specific action, event, person, organization, location, product, or thing. Papers within the file are generally arranged chronologically with the most recent papers on top. They are normally terminated upon occurrence of an event or action and placed in an inactive file. It is highly recommended that such files be indexed to aid in retrieval of documents in large files.

c. Reference Files. Reference files are organized collections of materials used for convenient reference within an office. This material may include extra copies of documents that are officially filed elsewhere, books, pamphlets, catalogs, and similar materials. Reference files should be periodically reviewed and obsolete material removed.

5. Arranging Files

a. Basic Arrangements. After determining the major functional file groups, a method of arranging each group is selected based on how the information will most likely be requested from the files. Within the basic file arrangement selected, one or more arrangements may be used to further subdivide, e.g., geographically arranged records may be subdivided by organization, or records filed by subject may be arranged chronologically. Combinations of filing arrangements to best suit individual office needs may be used, provided they are selected from one of the following types.

(1) Numerical. Numerical arrangements identify and refer to files by their numbers, such as files of requisitions and purchase orders.

(2) Chronological. Chronological arrangements place papers in a date sequence when the date is the primary means of reference, thus keeping records in small, manageable groups (usually by year, month, or day). Reading and suspense files are examples of files suitable for chronological arrangement.

(3) Geographic. Geographic arrangements place records in file alphabetically by location (such as region, country, or state) when the location is the primary means of reference. Files are arranged first by the name of the main geographic region (such as region of the world or country), then by the next most important subdivision required for reference (e.g., state, county or province, city, base, or port).

(4) Organizational. An alphabetical list of organizations should be used if the organization itself is the main means of reference.

(5) Alphabetical. When using alphabetical arrangements to place persons, places, and things in sequence, disregard articles, conjunctions, and prepositions contained in the titles.

(6) Subjective. Subjective arrangements are used to structure files when the subject itself is the primary means of reference. Each subject has an assigned number that is used for filing and automated retrieval, but the disposition of the records is by type of document as prescribed in the Joint Staff/Combatant Command Records Disposition Schedule.

b. Working With Numerical Set Files. Many documents created and maintained by the Joint Staff and combatant commands are promulgated in numerically sequenced sets regardless of subject matter. This procedure provides excellent control of issuance and reference as well as a convenient filing arrangement that easily assures a complete set of papers is retained. Retrieval of numerically filed documents is fast and efficient if the particular paper number is known; however, a retrieval effort by subject from a numerically filed set can be arduous. Therefore, it is recommended that numerical papers not only be filed in the set but also in the particular case or subject file to which they pertain, thereby permitting retrieval by number or subject.

c. Cross-Referencing and Indexing. Some papers may be called for by more than one filing feature or may concern more than one subject or case. Inter-filed cross-references and indexes can be invaluable finding aids in this circumstance; however, as this "see also" effort can be overdone and waste considerable time, record keepers should only prepare cross-references and indexes if they will actually improve retrieval.

(1) Cross-referencing is appropriate when multiple subjects are involved in a paper and recall may be by any of them. Also, it is advisable to have a cross-reference in a subject file if the original documents are filed in numerical sets elsewhere. Cross-referencing techniques include placing duplicate copies of papers in different files and generating lists of "filed under" or "see also" directions.

Note: Optional Form (OF) 21, "Cross Reference Sheet," previously used for this purpose, was canceled in November 2002; however this form need not be removed from the file unless the information it contains becomes invalid.

(2) Indexing is essential to locating papers filed in voluminous files or in files having similar types of documents, such as messages. An index should provide enough data on the filed items to readily identify them, but should not be so detailed that a considerable amount of time is required to prepare it.

6. Files Planning and Review

a. Using JS Form 31, "Joint Staff/Combatant Command List of Selected Files Numbers." (See Appendix C to this enclosure.)

(1) General

(a) JS Form 31 is an efficient vehicle for managing office records as it provides an at-a-glance summary of the files within a storage cabinet or office area, reflects the location of each category, and contains the disposition instructions for the records. All records maintained by an office of record are identified on the form, to include machine-readable records and automated information systems and related documentation. Functional system managers will identify all automated information systems for which they are responsible on this form, including systems residing on locate clusters. Detailed instructions for and abbreviations used in preparing this form are on the reverse.

(b) Use of JS Form 31 is mandatory within the Joint Staff. The combatant commands may also use this form to meet the requirements of this manual, or they may develop equivalent forms tailored to their specific organizations.

(c) To allow easy updating, JS Form 31 is electronically available in JetForm FormFlow; Joint Staff can also access the form through the JS Form icon on the MS Word standard toolbar. The combatant commands are authorized and encouraged to automate the form (or its equivalent) into any other appropriate electronic recordkeeping system.

(2) Requirements. All files custodians will prepare and maintain JS Form 31 (or, for combatant command files custodians, an equivalent form) as prescribed below.

(a) Initial Iteration. All files custodians will submit the initial iteration of JS Form 31 (or equivalent) through their records management chain of supervision to the appropriate Joint Staff/Headquarters Combatant Command Records Manager for approval. Upon approval, they will place the original form as the first document in the related file drawer or, in the case of nonstandard filing equipment, post it to the container in a conspicuous location.

(b) Annual Review. All files custodians will review JS Form 31 (or equivalent) annually. The review will be conducted with sufficient lead-time for the form to be on hand when new files are created at the beginning of a calendar or fiscal year. If upon review, changes are required, the files custodian will update and submit the form through the records management

chain of supervision to the appropriate Joint Staff/Headquarters Combatant Command Records Manager for approval. Upon approval, the original will be placed as the first document in the related file drawer, or posted to a nonstandard container in a conspicuous location.

(c) Biennial Update. All files custodians will update JS Form 31 (or equivalent) biennially and submit the updated form through the records management chain of supervision to the appropriate Joint Staff/Headquarters Combatant Command Records Manager for approval. Upon approval, the original will be placed as the first document in the related file drawer, or posted to a nonstandard file container in a conspicuous location. As with the annual review, the biennial update will be conducted with sufficient lead-time for the form to be on hand when new files are created at the beginning of a calendar or fiscal year.

b. Constructing a Files Plan. All records officers having subordinate offices of record should consolidate the information provided by those offices/files custodians on JS Forms 31 (or equivalent) into a files plan. A files plan greatly aids in locating records and assists in the annual disposition cycle. Although plan structure may vary, at a minimum it should reflect the offices of record for the types of records maintained (see Figure F-4). Joint Staff directorate records officers may maintain copies of approved JS Forms 31 of subordinate offices as the Directorate Files Plan. The combatant commands may authorize similar practices within their organizations.

FILE NO.	OFFICE OF RECORD
0001-04	JS papers.....Branch X
0008-03	MJCS.....Branch Y
0902-02	SOPs.....Branch Z
0925-01	Orientation.....Branch X

Figure F-4. Sample Files Plan

c. Using JS Form 32, "Records Management Checklist." (See Appendix D to this enclosure.) JS Form 32 is the Joint Staff tool for completing the annual files review and conducting periodic inspections and assistance visits. Combatant command records management personnel may also use this form, or an equivalent more suited to their specific organization.

7. Labeling Files and Other Records. (See Appendix E to this enclosure.) All folders, binders, and records containers will be labeled. Proper labeling is essential for accurate filing, retrieval, and disposition of records.

a. Labels. Labels will be computer-generated, typewritten, or neatly printed and will include the file number, file title, disposition instructions, and, when appropriate, the year of accumulation. Commonly understood abbreviations as well as those on the reverse side of JS Form 31 will be used. Use card stock for drawer and binder labels. Position the label according to the final disposition of the file. The left position is for records that will not leave the current files area; the center position is for files that will be transferred to a temporary holding facility and destroyed; and the right position is for permanent files that will be retired to the National Archives.

b. Guide Cards. Guide cards are used to divide files to facilitate filing and finding records and to provide support for the material in the file. Using pressure sensitive folder labels, type the category series number and subject (i.e., 0200 Personnel) on the label. To ease retrieval, labels may also be prepared using the entire file number and subject (i.e., 0226-01 Civilian Awards). Guides will be arranged in files with the tabs in numerical sequence and in uniform position on the left side of the file drawer.

c. File Folders. File folders are used to group related materials together. Prepare them only for subjects for which there is a current need. Prepare a second folder when the contents of a folder reach the normal one-inch capacity. Begin the second folder at a logical breaking point, such as the beginning of a month or calendar quarter. Place file folders in the file container behind their related guide cards. Use filing wallets and jackets for bulky materials.

d. Labeling Audiovisual and Electronic Records. See Enclosures B and E, respectively, for detailed guidance and procedures for labeling audiovisual records (photos, sound tapes, video tapes, etc.) and electronic records and recordkeeping media (diskettes, magnetic tapes, disk packs, etc.).

8. Files Cut Off Procedures. Files cut off is the segregation of active and inactive files and/or the termination of a file after a specified time or event. Periodic files cut off is essential to effectively controlling the accumulation of documentation and economically disposing of material in convenient blocks.

a. Using the Disposition Schedule. The disposition standards in Volume II of this manual are mandatory within the Joint Staff and combatant commands. Joint Staff/combatant command files will be cut off, active files will be separated from inactive ones, and eligible material will be retired, transferred, or destroyed in accordance with these standards.

(1) For most records, the standards state retention periods (e.g., destroy after 2 years, destroy after 6 years). Appendix B to this enclosure provides a matrix converting these periods to actual cut off, transfer, retirement, and disposition dates.

(2) For some records, the standards also give specific instructions for cut off, transfer, retirement, or establishment of inactive files. In these cases, use the specific instructions rather than the disposition standards.

b. Other Cut Off Standards. The following additional guidance applies to all records. Additionally, all technical and reference material will be reviewed on an annual basis and all noncurrent materials destroyed.

(1) Files maintained on a calendar year (CY) basis will be cut off on 31 December of each year and new CY files established.

(2) Files maintained on a fiscal year (FY) basis will be cut off at the end of the applicable FY and new files established.

(3) Files with a retention period of less than 1 year are maintained on a daily, weekly, or monthly basis. These files are cut off and disposed of after their authorized retention period. For example, large accumulations of records that are disposable after 6 months could be cut off at the end of each month, a new file started, and the file disposed of after 6 months.

(4) Files maintained as case, action, or project files are cut off upon the occurrence of a certain event, kept in the inactive files area, and disposed of in accordance with disposition standards.

c. Changing the Disposition Schedule. Recommended changes, additions, or deletions to the standards specified in Volume II must be submitted on JS Form 30, "Joint Staff/Combatant Command Records Management Survey" (Appendix F to this enclosure), with full justification, through the appropriate Joint Staff/Headquarters Combatant Command Records Manager to RMAS Br for evaluation.

9. Procedures for Filing Documents

a. Preparing Documents for Filing

(1) Ensure the action has been completed. Documents may be authorized for filing by rubber stamping or writing the word "file" and the file number in the upper right corner of the first page. Filing authority is not required nor necessary for papers that are self-identifying.

(2) Sort and categorize the documents. This is the most important step in preparing documents for filing. Categorizing documents must be done with care so as to properly determine their administrative, legal, and research value to the Joint Staff/Combatant Command; their relationship to other relevant records and to the organization; their usefulness as archives; and the cost to

keep them. Consult the JS Form 31 and file plan (paragraph 6 of this enclosure). Ensure the proper file number is placed in the upper right corner of the first page of the document.

(3) Prepare the document package.

(a) Ensure the document is complete and includes all enclosures or related papers. Destroy identical duplicate copies of papers to be filed in the same series, with the exception of coordination copies. Remove mail control forms, classified cover sheets, envelopes, and routing slips unless they contain significant remarks; remove rubber bands, paper clips, spring clips, pins, and other temporary fasteners. Mend or reinforce frayed papers.

(b) Assemble related documents for filing as follows. Staple papers in the upper left corner. Use prong fasteners for material too thick to staple.

1. Latest action on top.
2. Basic paper.
3. Endorsements in numerical or chronological order.
4. Supporting documents.

(c) Bring forward papers of a later date that relate or refer to the papers being filed **only** when reference to the later papers **clearly requires** such action. If related papers are brought forward, this must be noted in cross-reference indexes so that continuity is maintained. Do **not** combine such papers as recurring reports with the policy documents governing submission of the reports. Do **not** combine papers on the same subject relating to different transactions, such as inspection reports of two different organizations.

b. Placing Documents in Folders and Files

(1) Match the designation of the papers with the folder label.

(2) File papers loosely in the proper folder with the latest action on top. Use prong fasteners for folders frequently removed from the file drawer.

(3) Keep folder labels visible by neatly arranging papers in the folders. When the contents of a folder increase to the point that the label is obscured, crease the bottom of the folder at the scored expansion to increase the capacity of the folder. Prepare a second folder when the first reaches a capacity of approximately one inch. Show inclusive dates on each folder.

(4) Prevent overcrowding of file drawers by allowing at least four inches of workspace. Avoid cluttering the files. File bulky materials in filing equipment suitable to their size. Material stored in a different area will be marked with its

file number and cross-referenced in the primary file by a notation in a conspicuous location.

10. Procedures for Filing Publications. Combatant commands will comply with their internal procedures for filing publications. The Joint Staff will apply the following guidance and procedures when posting and filing Joint Staff publications and documents (JSIs, CJCSIs, Joint Pubs, directives, charters, TORs, etc.) and reference publications from other organizations.

a. **Using Binders.** Custodians customarily file publications in three-ring loose-leaf binders. Custodians who file publications in filing cabinets should use standard guides, folders, and labels.

(1) **Basic Procedures**

(a) Separate each agency or type of publication in separate binders (DOD, combatant command, Air Force, CJCSI, MCM, etc.).

(b) File publications in numerical sequence, according to series and control number (e.g., 2511.01, 2511.03, 3718-01).

(c) If specialized publications such as periodicals, visual aids, and bulletins are kept in the library, file them in separate binders.

(2) **Exceptions**

(a) In smaller libraries, publications may be filed together if they will fit into a few binders.

(b) A publication that supplements a DOD publication will be filed with the basic DOD publication. For example JSM 5220.01 would be filed with DOD 5200.2R. A form indicating this location would be filed in the binder containing JSMs.

(c) In non-secure areas, classified publications will be filed separately from unclassified publications.

b. **Filing a New or Revised Publication.** To file a new or revised publication or reference document, look first for a cancellation paragraph or supersession line. (Supersession lines are normally found at the bottom of the first page.) If neither is found, the document will be considered a new publication and will be filed in the proper binder. If a cancellation paragraph or supersession line is found, verify whether the revised publication supersedes portions of a publication, an entire publication, or more than one publication. Remove superseded publication(s). For revisions of a portion of a publication, see

subparagraphs c. and d. of this paragraph. See subparagraph e. for a revision with a future effective date.

c. Posting and Filing a Change. The change transmittal page shows whether to insert new pages or make write-in entries. A formal change may show page, write-in, and paragraph changes. Post and file changes in the order in which they are issued (by date). If write-in changes are required, follow the procedures below. (See Figure F-5.)

(1) If a line, sentence, paragraph, or section is changed, line through it and write in the word “Deleted” or “Replaced.” Write the words above the lines or in the margin. In the adjoining margin, identify the authorizing change by writing the change number (e.g., CH 1).

(2) If a paragraph is added, write the number and the word “Added.” Identify the change in the adjoining margin.

(3) Remove and insert pages as shown on the transmittal page. If a supplement to a removed page is posted, write “see supplement” at the top of the new page or post the supplement to the new page.

(4) File a change transmittal page in the back of the basic publication in the order issued (by date). If the change pertains to a specific volume, file it in back of that volume (e.g., JSI 5711.03, Vol II, CH-1). Replace the old List of Effective Pages with the changed one.

d. Posting and Filing a Supplement. A supplement adds information to a basic publication. Post supplements as follows. (See Figure F-5.)

(1) Supplement in Paragraph Format

(a) Circle the number or letter of the supplemented paragraph, table, figure, etc. In the margin, write the supplement number and the issuing document.

(b) Write the number (or letter) of an added paragraph, followed by the word “Added.” Identify the supplement in the margin.

(c) File the supplement behind the basic publication. If the supplement pertains only to a specific volume of the publication, file it in back of that volume.

(2) Supplement in Page-Insert Format. File each page insert as instructed on the transmittal sheet. File the supplement transmittal page

behind the basic publication. If the supplement pertains to a specific volume, file the transmittal page in back of that volume.

(3) Holdover Supplements. When a publication is rescinded, the supplements are also rescinded; however, when only the basic document of a publication is superseded, the supplements automatically stay in effect. These holdover supplements provide interim guidance until revised or rescinded. Do not post holdover supplements. File them in the back of the new basic publication. On the front page of the new basic, write “see supplements.”

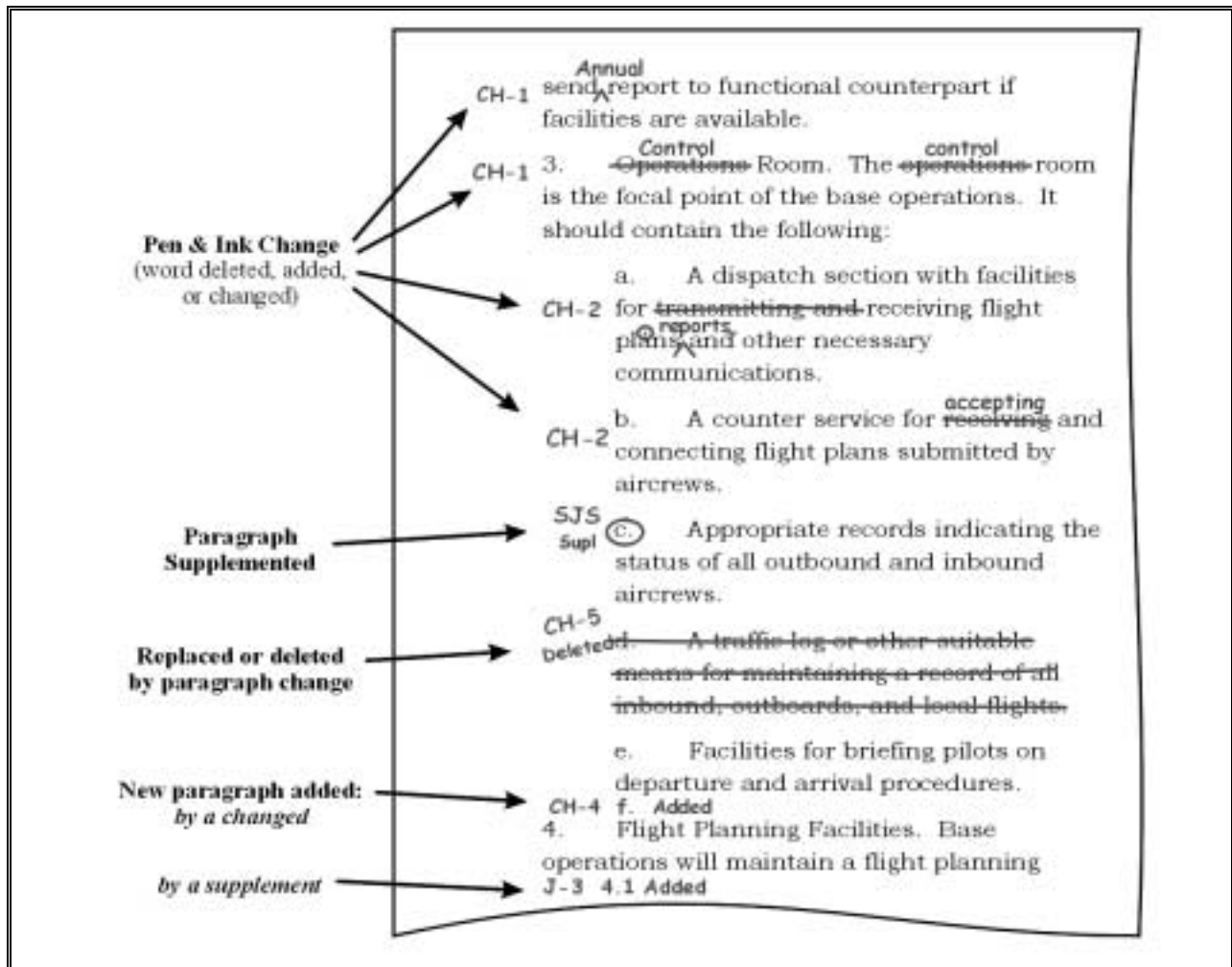


Figure F-5. Posting Changes and Supplements

e. Filing a Publication or Posting a Change With a Future Effective Date

(1) Annotate the top of the first page of the superseded publication with the number of the publication that will replace it (i.e., “to be superseded by CJSCI 5720.02G effective 10 Nov 00”).

(2) Annotate the first page of the new publication with a reference to the superseded publication (i.e., “do not implement until 10 Nov 00”).

(3) If the new publication has the same number, file it directly behind the publication being replaced. If the new publication has a different number, file it in the proper numerical sequence.

(4) On the effective date, remove the superseded publication from the binder and delete the warning notice from the new publication.

(5) If a change or supplement contains changes with a future effective date, file the complete change in front of the basic publication. Insert the new pages (or post the affected paragraphs) on the effective date. File the transmittal page behind the basic publication.

11. Charge-Out Procedures. Documents or file folders borrowed or permanently withdrawn from the storage cabinet will be noted by preparing a charge-out form identifying the record (number, title or subject, and date), the person and office charged to, and the date withdrawn (JS Form 62 or similar form—see Appendix G). The form is inserted in the file at the exact position where the folder was removed. This facilitates identification of papers removed from the files and expedites refiling when returned. Upon return, the charge-out entry is lined through and the form retained for future use.

12. Filing NATO Documents. NATO documents may be stored in the same approved security container as non-NATO material, under any category number, provided they are separated by a file divider (reference n). In addition, COSMIC, ATOMAL, and special category documents will be filed separately by category (reference bb, subparagraph 7e). Once it has been determined that the NATO documents are eligible for disposal, the appropriate disposition instruction under the 0800 series will apply.

APPENDIX A TO ENCLOSURE F
FILES MANAGEMENT CHECKLIST

- | | |
|---------------------------------------|---|
| Select File Numbers | <ul style="list-style-type: none">– Choose the most descriptive numbers from Volume II for each file. Include files created and maintained in electronic media.– Use office-specific subdivisions to refine contents of a file (e.g., subject, date/time periods). |
| Prepare Files | <ul style="list-style-type: none">– Prepare a list of selected files numbers on JS Form 31 (or equivalent), including files created and maintained in electronic media.– Prepare guide cards, folders, and labels. |
| Prepare Papers for Filing | <ul style="list-style-type: none">– Screen the material to ensure completeness and to remove duplicate or extraneous material.– Assemble document, select appropriate file number, and mark for filing. Use a distinctive mark, stamp, or color code to distinguish the official record copy from others.– Cross-reference as necessary to facilitate retrieval. |
| File Papers and Maintain Files | <ul style="list-style-type: none">– File papers loosely; avoid overcrowding.– Use a charge-out form for materials removed from files.– File daily to avoid backlogs.– Cut off files in a timely manner and retire, transfer, or destroy materials according to the disposition standards and instructions in Volume II and Appendix B.– Strictly observe classified material handling and storage requirements. |

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APPENDIX B TO ENCLOSURE F
DISPOSITION STANDARDS AND INSTRUCTIONS

Rule	If abbreviated disposition instruction is:	Then the full disposition standards would be:	And the disposition instructions on the label would be:
1	Destroy after 1 month	Cut off at end of month, hold 1 month in current files area, then destroy	COFF 30 Apr 2003, dest Jun 2003
2	Destroy after 6 months	Cut off twice a year, hold 6 months in current files area, then destroy	COFF 30 Jun 2003, dest Jan 2004 COFF 31 Dec 2003 dest Jul 2004
3	Destroy after 1 year	Cut off at end of CY or FY, hold 1 year in current files area, then destroy	CY: COFF 31 Dec 2003, dest Jan 2005 FY: COFF 30 Sep 2003, dest Oct 2004
4	Destroy a certain time after occurrence of a specific action or event, such as:		
	Destroy 2 years after transfer or separation of the individual	Cut off on transfer or separation of individual, hold 2 years in current files area, then destroy	ACTIVE FILE: PIF upon separation or transfer INACTIVE FILE: COFF 31 Dec 2003, dest Jan 2006
	Destroy 2 years after resolution of case	Cut off on resolution of case, hold 2 years, then destroy	ACTIVE FILE: PIF after resolution of case INACTIVE FILE: COFF 31 Dec 2003, dest Jan 2006
	Destroy 2 years after termination of assignment, or when lease is canceled, or when plans are superseded or obsolete	Cut off on termination of assignment, when lease is canceled, or when plans are superseded or obsolete; hold 2 years, then destroy	ACTIVE FILE: PIF upon termination of assignment, when lease is canc, or when plans are ss or obs INACTIVE FILE: COFF 31 Dec 2003 dest Jan 2006
	Destroy 2 years after publication in Joint Admin Pub 1.1	Cut off on publication in Joint Admin Pub 1.1, hold 2 years, then destroy	ACTIVE FILE: PIF after publication in Joint Admin Pub 1.1 INACTIVE FILE: COFF 31 Dec 2003 dest Jan 2006

Rule	If abbreviated disposition instruction is:	Then the full disposition standards would be:	And the disposition instructions on the label would be:
5	Destroy upon occurrence of a specific action or event, such as:	Destroy when superseded or obsolete	Dest when ss or obs
		Destroy when superseded or canceled	Dest when ss or canc
		Destroy when no longer needed	Dest when no longer needed
		Destroy on publication and receipt of Joint Staff/combatant command paper	Dest upon publication and receipt of Joint Staff/combatant command paper
		Destroy after announcement closes	Dest after announcement closing date
6	Destroy a certain time after transfer to inactive storage facility (ISF), such as:		
	Cut off annually at end of CY; after 2 years transfer by CY block to ISF; when 10 years old, destroy by CY block	Cut off annually by CY, hold 2 years, then retire by CY block to ISF. Destroy by CY block 10 years after cutoff	COFF 31 Dec 2003, trf to ISF Jan 2006, dest Jan 2014
	Cut off annually at end of CY; after 7 years transfer by CY block to JS/combatant command ISF; when 20 years old, destroy by CY block	Cut off annually by CY, hold 7 years, then retire by CY block to ISF. Destroy by CY block 20 years after cutoff	COFF 31 Dec 2003, trf to ISF Jan 2011, dest Jan 2024
7	Destroy a certain time after occurrence of a specific action or event after transfer to ISF	Cut off when superseded or obsolete, hold 2 years, then retire by CY block to ISF. Destroy by CY block 10 years after cutoff	ACTIVE FILE: PIF when ss, or obs INACTIVE FILE: COFF 31 Dec 2003, trf to ISF Jan 2006, dest Jan 2014
8	Retire to NARA after 20 years	Permanent. Cut off annually by CY, hold 7 years, then retire by CY block to ISF. Transfer entire CY block to NARA 20 years after cutoff	COFF 31 Dec 2003, trf to ISF Jan 2011, perm trf to NARA Jan 2024
9	Retire to NARA a certain time after occurrence of a specific action or event after transfer to ISF after 20 or 30 years old	Permanent. Cut off when superseded or rescinded, hold 1 year, then retire to ISF. Transfer to NARA 20 years after cutoff	ACTIVE FILE: PIF when ss or resc INACTIVE FILE: COFF 31 Dec 03, trf to ISF Jan 05, perm trf to NARA Jan 2024

Rule	If abbreviated disposition instruction is:	Then the full disposition standards would be:	And the disposition instructions on the label would be:
9	Retire to NARA a certain time after occurrence of a specific action or event after transfer to ISF after 20 or 30 years old	Permanent. Cut off at expiration of CJCS tour of duty, hold 2 years, then retire entire block through R&A Br to JS RHA. Transfer entire block to NARA 20 years after cutoff	ACTIVE FILE: PIF at expiration of CJCS tour of duty INACTIVE FILE: COFF 31 Dec 2003, trf thru R&A Br to JS RHA Jan 2006, perm trf to NARA Jan 2024
10	Documents in special control channels	Permanent. In accordance with Intelligence Community policy for SCI documents, retain JS record copy 30 years, then review for removal from SCI channels. When removable from SCI channels, transfer by CY block to NARA	COFF 31 Dec 03, review Jan 2034, if removable fr SCI ch trf to NARA
11	Action officer case files	Review annually, purging extraneous papers and duplicate copies; transfer to R&A Br those background materials pertaining to joint actions that have not been previously provided for inclusion in official JS case file (disposition then becomes 0001-01); destroy other materials when no longer needed	Review annually, dest when no longer needed, trf joint action-related background materials to R&A Br for inclusion in official JS case file
		Documents in SCI channels will be deposited of IAW 324-01	SCI DOCUMENTS: Cite appropriate disposition instruction from IC directive
		NATO documents will be disposed of IAW 801 category and USSAN 1-69	NATO DOCUMENTS: Cite appropriate disposition instruction from 801 category

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ANNEX TO APPENDIX B TO ENCLOSURE F

ABBREVIATIONS FOR DISPOSITION INSTRUCTIONS

<u>INSTRUCTION</u>	<u>ABBREVIATION</u>
cut off	COFF
canceled	canc
change	ch
destroy	dest
from	fr
obsolete	obs
permanent	perm
place in file	PIF
reference	ref
rescinded	resc
superseded	ss
temporary	temp
transfer	trf

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APPENDIX C TO ENCLOSURE F

SAMPLE JOINT STAFF FORM 31: "JOINT STAFF/COMBATANT COMMAND
LIST OF SELECTED FILES NUMBERS"

JOINT STAFF/COMBATANT COMMAND LIST OF SELECTED FILE NUMBERS			
Page 1 of 3 Pages			
1. FROM (Dir., Div., Br., Sec. & Rm Num.) J-3, JOD, Special Ops Br, Rm 2B901		2. Files Custodian/AO Name & Phone Major John E. Doe, x697-4321	
3. Date 15 Jan 2001			
4. Initial Plan <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		5. Date of Superseded Plan (Fill in only when plan is revised) 22 January 1999	
6. Directorate Records Officer Capt William M. Jones		7. Joint Staff/Agency RMO Major Thomas C. Reimer	
Date 21 Jan 2001		Date 23 Jan 2001	
(A) 8. File No.	(B) Title, Description, Arrangement and Location	(C) Disposition Instructions	
0000	<u>JOINT STAFF/COMBATANT COMMAND RECORDS</u>		
0001-04	<u>JOINT STAFF PAPERS</u> Reference copies of Joint Staff Papers - num	COFF annually, hold 2 yrs dest/delete when no longer needed, unless needed for cont ref.	
0004-03	<u>JS MEMORANDUMS OF INFORMATION (IMs)</u> Reference copies of IMs - num	COFF annually, hold 2 yrs dest/delete when no longer needed.	
0014-04	<u>JOINT PUBLICATION (JT PUBS)</u> Reference library copies - num - located in bookcase	Retain until ss or canc, then dest/delete.	
0021-04	<u>JCS/JS HISTORIES</u> Reference copies of Special Ops JS Histories - chron	Destroy/delete when no longer needed for ref.	
0022-01	<u>J-3# MEMORANDUMS</u> Official records set of J-3 Memos - num-chron	COFF annually at end of CY, hold 2 yrs, retire to WNRC, dest/delete when 10 yrs olds	
0028-02	<u>JOINT REQUIREMENT OVERSIGHT COUNCIL (JROC)</u> Routine Admin Support files - Chron	COFF annually, hold 6 yrs then dest/delete no longer needed for ref.	
0031-01	<u>COMBATANT COMMAND CDR/DEPCDR/COS CORRESPONDENCE</u> Official records copies of Combatant Command correspondence - Chron	COFF annually, hold until end of Combatant Command Officials tour, after 2 yrs retire to inactive record storage area, trf to NARA when 25 yrs old after declass review.	
0036-01	<u>CORPORATE JS AND HQ COMBATANT COMMAND ELECTRONIC MAIL AND WORD PROCESSING</u> Working copies Electronic Mail and Word processing documents received for CJCS/Combatant Command held for reference only - chron - located on "G" Drive - G:/CJCS/Reference Working Files	Dest/delete with 180 days after recordkeeping copy has been produced.	
0100	<u>ORGANIZATION AND MANPOWER</u>		
0105-01	<u>UNIT MANNING DOCUMENTS (UMDs)</u> Official records of UMDs forwarded OSD - num	COFF every 3 mos, hold 3 mos, then dest/delete	

(A) 8. File No.	(B) Title, Description, Arrangement and Location	(C) Disposition Instructions
0200	<u>PERSONNEL/PAYROLL</u>	
0223-01	<u>SUPERVISOR'S EMPLOYEE RECORDS</u> Copies of civilian employee's history, training, personnel actions not appropriate of official file or dupl. - alpha	Review annually, dest/delete ss or obs docs, dest/delete all docs relating to an ind employee 1 yr after separation or trf.
0300	<u>INTELLIGENCE AND SECURITY</u>	
0303-01	<u>DOCUMENT RECEIPTS (SECRET & BELOW)</u> Active Document Receipts - num	PIF after disp, trf, dwgrd, or dest/deletion of doc.
0303-01	Inactive Document Receipts - chron	COFF annually, hold 2 years then dest/delete.
0400	<u>INFORMATION AND LEGAL</u>	
0402-02	<u>CONGRESSIONAL CORRESPONDENCE</u> Routine correspondence with no historical value - chron	COFF annually, hold 1 yr, then retire to inactive storage facility hold 7 yrs, and then dest/delete.
0500	<u>OPERATIONS, PLANNING, COMMAND AND CONTROL</u>	
0502-01	<u>OPERATIONS SUMMARY</u> Ops Sum Rpts/Logs/Memos - chron	COFF annually at end of CY, hold 7 yrs, retire by CY block to JS RHA, trf to NARA when 25 yrs old after declass review.
0600	<u>LOGISTICS, SUPPLY, SERVICES, AND BUDGET</u>	
0603-01	<u>NUCLEAR, BIOLOGICAL, AND CHEMICAL WEAPONS LOGISTICS</u> Nuclear, Biological, & Chemical Weapons policy docs - chron	COFF after revision, ss, or canc, hold 5 yrs, retire to inactive storage facility, trf to NARA when 25 yrs old after declass review.
0900	<u>GENERAL ADMINISTRATION AND MANAGEMENT</u>	
0901-01	<u>GENERAL OFFICE ADMINISTRATION</u>	COFF annually at end of CY, hold 2 yrs, then dest/delete
0901-01A	Office Operating Policy Memos - chron	
0901-01B	Space Management Memos - chron	
0901-01C	Repair of Office Equipment - chron	
0903-01	<u>REFERENCE PUBLICATIONS AND LIBRARY MATERIAL</u> Reference copies of JS and other agencies directives - num - located in bookcase and electronic on "G" drive in library G:/JS Reference Pub	Dest/delete when ss, obs, or no longer needed for ref

(A) 8. File No.	(B) Title, Description, Arrangement and Location	(C) Disposition Instructions
0916-01	<u>ACTION OFFICER CASE FILES</u>	Review annually, purge extraneous papers and duplicates copies. Those background materials pertaining to official actions will be incorporated in the official JS/combatant command case file. Other materials may be dest/delete when no longer needed for ref.
	Reference/Duplicate copies of tasking documents, draft papers,	
0916-01.1	Nuclear Weapons Storage - num	
0916-01.2	Biological Weapons Special Study - chron	
0916-01.3	Chemical Weapons Incidents - chron	
0916-01.3A	Special Clean-up Program - subj.	
0916-01.3B	Relocation Guidance - chron	
0916-01.4	Special Operations Planning - chron	
0916-01.4A	NATO Operations Projects - geog	
0916-01.4B	Middle East Operations - chron	
0916-01.5	Miscellaneous Reports - chron - located in SCIF	
0921-01	<u>ORIENTATION AND BRIEFING FILES</u>	Dest/delete when ss or obs
	Special Operations Briefings - subj	
0945-01	<u>GENERAL ADMINISTRATION AND MANAGEMENT</u>	Dest/delete with 180 days after recordkeeping copy has been produced.
	<u>ELECTRONIC MAIL AND WORD PROCESSING</u>	
	Working copies Electronic Mail and Word processing held for reference only - chron - located on "N" Drive - N:/Personal Files	
1000	<u>INFORMATION TECHNOLOGY (IT) PROCUREMENT, PLANNING, OPERATIONS AND MANAGEMENT RECORDS</u>	
1002-01	<u>IT PLANNING FILES</u>	COFF when plan is ss or terminated, hold 3 yrs then dest/delete
	Special Operations long-term IT planning documents - chron	
1100	<u>MEDICAL RECORDS</u>	
1108-01	<u>MEDICAL EXERCISE/OPERATIONS</u>	COFF upon completion of final rpt, hold 5 yrs, then dest/delete unless needed longer for ref.
	Medical Exercise in conjunction with Special Ops Exercise - chron	

USES:

1. List of file numbers selected for within an office.
2. Obtain Joint Staff/combatant command records manager approval of disposition rules selected.

INSTRUCTIONS FOR PREPARATIONS:

1. Prepare in duplicate and forward through directorate Records Officer to appropriate agency Records Manager for approval. Approval original will be returned for placement in file drawer for reference.
2. Ensure that all files within an office are listed.
3. Review annually and revise as necessary prior to beginning a calendar or fiscal year as appropriate.
4. Column A: File number designation from CJCSM 5760.01, Volume II - The Joint Staff and Combatant Command Disposition Manual.
5. Column B: Brief title, description and filing arrangement of each file. Cite inclusive dates if applicable.¹
6. Column C: Abbreviated disposition instruction from CJCSM 5760.01, Volume II - The Joint Staff and Combatant Command Disposition Manual.

ABBREVIATIONS:

In addition to commonly used abbreviations, the following should be used when preparing JS Form 31 or File Plan:

alpha	alphabetically	orgn.....	organizationally
canc.....	cancelled	perm.....	permanent
CFA.....	current files area	PIF.....	place in inactive file
chron.....	chronologically	ref.....	reference
COFF.....	cut off	resc.....	rescinded
cont.....	continue(d)	ret.....	retire(d)
CY.....	calendar year	rev.....	revised
dest.....	destroy	RHA.....	records holding area
declass.....	declassification	ss.....	superseded
disp.....	dispatch	subj.....	subject
dwgrd.....	downgrade(d)	temp.....	temporary
FY.....	fiscal year	trf.....	transfer
geog.....	geographically	WNRC.....	Washington National Records Center
IAW.....	in accordance with	yr.....	year(s)
NARA.....	National Archives & Records Administration		
num.....	numerical		
obs.....	obsolete		

¹ If a file is not maintained with the majority of the files, indicate location.

APPENDIX D TO ENCLOSURE F

JOINT STAFF FORM 32: "JOINT STAFF/COMBATANT COMMAND
RECORDS MANAGEMENT INSPECTION CHECKLIST"

JOINT STAFF/COMBATANT COMMAND RECORDS MANAGEMENT INSPECTION CHECKLIST	
DIRECTORATE/DIVISION/ BRANCH/SECTION/OTHER ACTIVITY	DATE
ADMINISTRATIVE	
A. Directorate-Level	
YES NO	
1. Has a records officer been designated? (CJCSI 5760.01, subparas 6.d-h; CJCSM 5760.01, Vol I, subpara 4.c)	14. Are each series of files arranged based on the way people in the office usually ask for the records? (CJCSM 5760.01, Vol I, Encl F, subpara 5.a)
2. Has the designated records officer's name, rank, room number, and telephone number been provided in writing to the JS/HQ Combatant Command Records Manager? (CJCSI 5760.01, subparas 6.d-h) Memo dated: _____	15. Are all indexes to the files needed, e.g., is the time required to prepare and update them justified by their use? (CJCSM 5760.01, Vol I, Encl F, subpara 5.c)
3. Has the records officer identified individuals authorized to pickup and deliver agency records to the Washington National Records Center? (CJCSM 5760.01, Vol I, Encl G, para 9) Memo dated: _____	16. Are cross references made when needed? (CJCSM 5760.01, Vol I, Encl F, subpara 5.c)
4. Does the records officer conduct assistance visits to subordinate offices at least annually? (CJCSI 5760.01, subpara 6.f) Date of last visit _____	17. Are records filed on a daily basis or as required? (CJCSM 5760.01, Vol I, Encl F, App A)
B. Directorate-Wide	18. Before filing, are documents examined to ensure that they are complete? (CJCSM 5760.01, Vol I, Encl F, subpara 9.a)
5. Does each office and files custodian have a copy of current JS/HQ records management instructions and manuals? (CJCSI 5760.01, subparas 6.f-h)	19. Before filing, are the following materials removed? (CJCSM 5760.01, Vol I, Encl F, subpara 9.a) ____ Envelopes? ____ Routing slips, cover sheets, and control forms that contain no significant information? ____ Superseded drafts showing no substantive changes?
6. Are all office personnel familiar with the policies and procedures contained in these instructions/manuals? (CJCSI 5760.01, subparas 6.f-h)	____ Duplicate copies of correspondence and reports (other than those needed for cross reference)?
7. Have JS Forms 31 (or equivalent) been prepared to reflect all files/records (including machine-readable records) kept in the office? (CJCSM 5760.01, Vol I, Encl F, subpara 6.a.[1])	PERSONAL PAPERS
8. Is JS Form 31 available at each file station? (CJCSM 5760.01, Vol I, Encl F, subpara 6.a.[2])	20. Are personal papers maintained separately from official records? (CJCSM 5760.01, Vol I, Encl A, para 5)
9. Is JS Form 31 filed in the first file of each file drawer, or in the case of nonstandard filing equipment, posted to the container in a conspicuous location? (CJCSM 5760.01, Vol I, Encl F, subpara 6.a.[2])	21. When matters of official business are included in personal correspondence is the portion concerning official business extracted and made part of the official records? (CJCSM 5760.01, Vol I, Encl A, para 5)
10. Are JS Forms 31 prepared in accordance with JS/HQ instructions and manuals? (CJCSM 5760.01, Vol I, Encl F, App C)	FILE CABINETS/FILE FOLDERS/BINDERS/DISPOSITION PROCEDURES
11. Have JS Forms 31 been approved by the records officer? (CJCSM 5760.01, Vol I, Encl F, subpara 6.a.[2])	22. Are all file cabinet drawers labeled accurately and legibly? (CJCSM 5760.01, Vol I, Encl F, para 7)
12. Have JS Forms 31 been approved by the JS/HQ Combatant Command Records Manager? (CJCSM 5760.01, Vol I, Encl F, subpara 6.a.[2])	23. Are legible guide card and folder labels used to facilitate quick access and reference? (CJCSM 5760.01, Vol I, Encl F, para 7)
13. Are JS Forms 31 reviewed and updated annually? (CJCSM 5760.01, Vol I, Encl F, subpara 6.a.[2])	24. Are all file folders/binders labeled accurately with the required disposition instructions? (CJCSM 5760.01, Vol I, Encl F, para 7 and App E) ____ File folder labels correctly positioned? ____ Binders properly labeled? ____ Disposition instructions on each file? ____ Cut off dates correctly reflected? ____ Other?

YES NO
_____ 25. Do files custodians follow approved disposition instructions and take prompt action? (CJCSM 5760.01, Vol I, Encl F, para 8)
_____ Execute file breaks?
_____ Retire inactive records to agency storage areas?
_____ Retire inactive records to Federal Records Centers (FRC)?
_____ Transfer permanent records to the National Archives?
_____ Destroy disposable records?
_____ Create new files as required for new calendar or fiscal years?
_____ 26. Are new file folders established when the original folders exceed 1 inch or reach maximum capacity? (CJCSM 5760.01, Vol I, Encl F, subpara 9.b)
_____ 27. Is filing equipment used only to store records and not to store supplies and personal items? (CJCSM 5760.01, Vol I, Encl F, App H, para 2)

SECURITY

_____ 28. Are folders that contain classified materials stamped with the highest classification on the front and back? (CJCSM 5760.01, Vol I, Encl A, subpara 3.f)
_____ 29. If NATO documents are filed in the same container as non-NATO materials, are the NATO documents separated by a file divider? (USSAN 1-69, Atch 1, Encl, subpara 56.b; CJCSM 5760.01, Encl F, para 12; JSM 5220.03A, subpara 4.e) (Exception to policy – see SM 749-85, 12 Nov 85)
_____ Are folders stamped to show that the file contains NATO material?
_____ 30. Are charge-out cards routinely used whenever documents or files are removed from official file stations? (CJCSM 5760.01, Vol I, Encl F, para 11)
_____ 31. Does filing equipment containing classified records meet security storage requirements? (CJCSM 5760.01, Vol I, Encl F, App H, para 4)
_____ Is the area vaulted?

RECORDS MAINTENANCE

_____ 32. Are action officer files purged annually? (CJCSM 5760.01, Vol II, Encl B, 0916-01/02)
_____ 33. Are background materials in action officer files that pertain to official actions being transferred for incorporation into the official JS/HQ case files? (CJCSM 5760.01, Vol II, Encl B, 0916-01/02)
_____ 34. Is SF 135 prepared for records eligible to be retired to FRCs in accordance with the JS/HQ instructions/manuals? (CJCSM 5760.01, Vol I, Encl G, App A)
_____ 35. Are records shipped to FRCs in accordance with JS/HQ procedures? (CJCSM 5760.01, Vol I, Encl G, App A)
_____ 36. Are recommended changes or additions to the disposition standards contained in Vol II of CJCSM 5760.01 submitted on JS Form 30 with full justification to the JS/HQ Records Manager for evaluation? (CJCSM 5760.01, Vol I, Encl F, subpara 8.c)

_____ 37. Are all machine-readable files identified on JS Form 31? (CJCSM 5760.01, Vol I, Encl F, subpara 6.a)

_____ 38. If machine-readable files are not reflected in the disposition standards in CJCSM 5760.01, Vol II, has any action been taken to include them? (CJCSM 5760.01, Vol I, Encl E, App A, subpara 3.d)

RESULTS OF LAST RECORDS INSPECTION

Date _____ Rating _____

_____ No discrepancies noted - no corrective action required.

_____ Discrepancies noted and:
_____ Have been corrected.
_____ No corrective action taken.
_____ Other.

OVERALL EVALUATION

_____ Outstanding - Files are in excellent condition, well organized, and in full compliance with current JS/HQ records management instructions/manuals. No discrepancies noted.

_____ Excellent - Files are well organized and in compliance with current JS/HQ records management instructions/manuals except for minor discrepancies noted above.

_____ Satisfactory - Files are organized and in compliance with current JS/HQ records management instructions/manuals except for discrepancies noted above.

_____ Marginal - Several major discrepancies noted - see above - additional work required before files are in compliance with current JS/HQ records management instructions/manuals.

_____ Unsatisfactory - Several major discrepancies noted - see above and below - overall records management program is below acceptable standards.

REMARKS:

APPENDIX E TO ENCLOSURE F

LABELING FILE FOLDERS, GUIDE CARDS, CABINETS, AND BINDERS

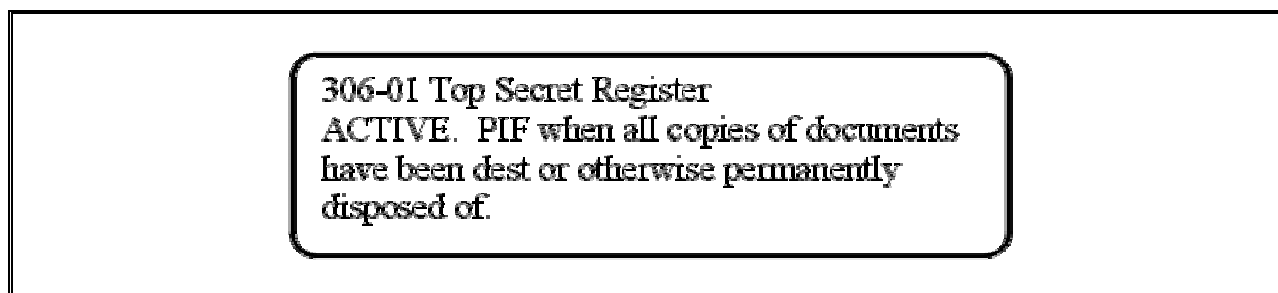


Figure F-F-1. Label for File Cut Off (Inactive)
on Occurrence of an Action or Event



Figure F-F-2. Label for Inactive File

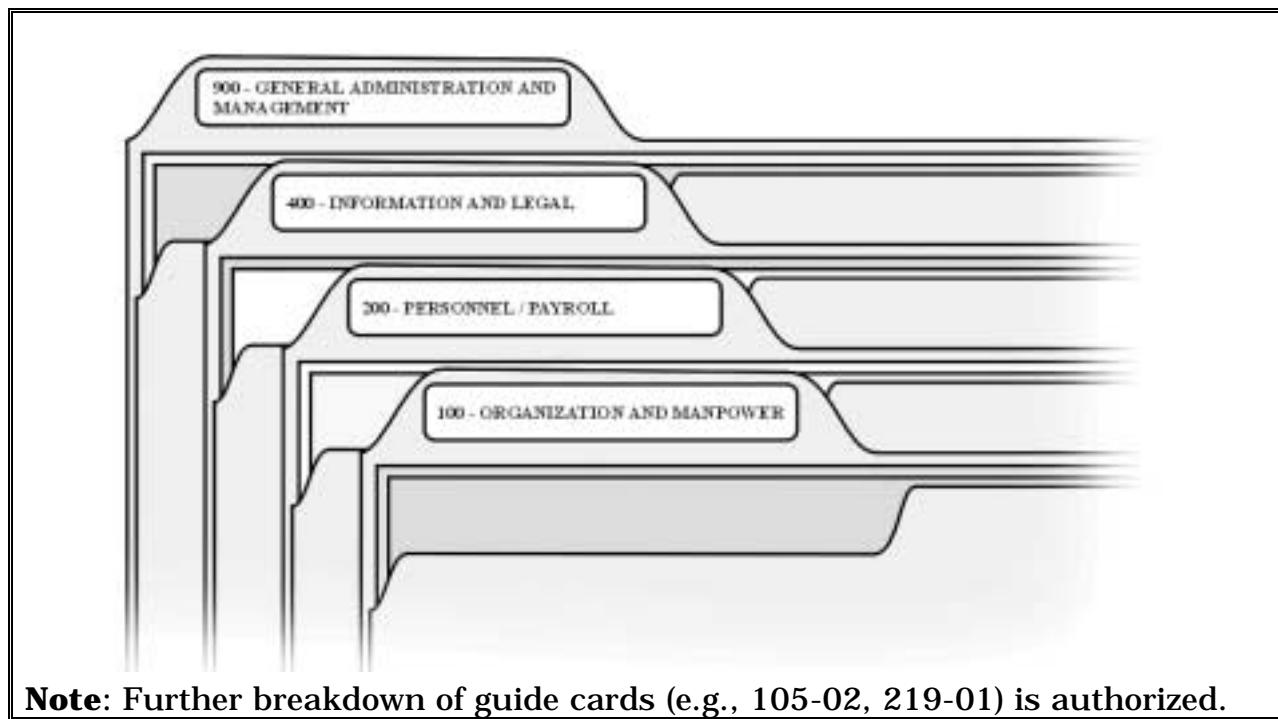


Figure F-F-3. Guide Card Labels

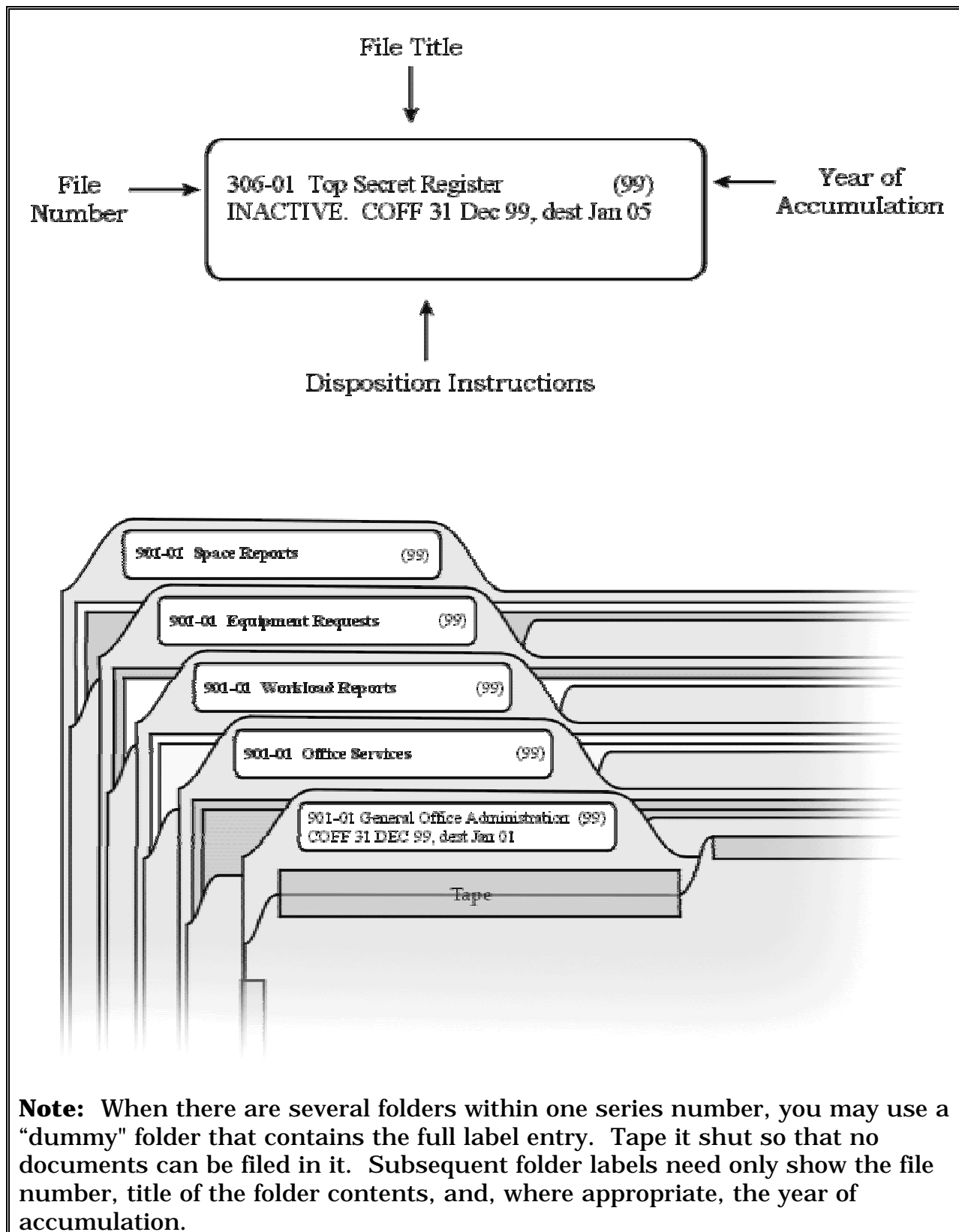


Figure F-F-4. Use of a "Dummy" Folder

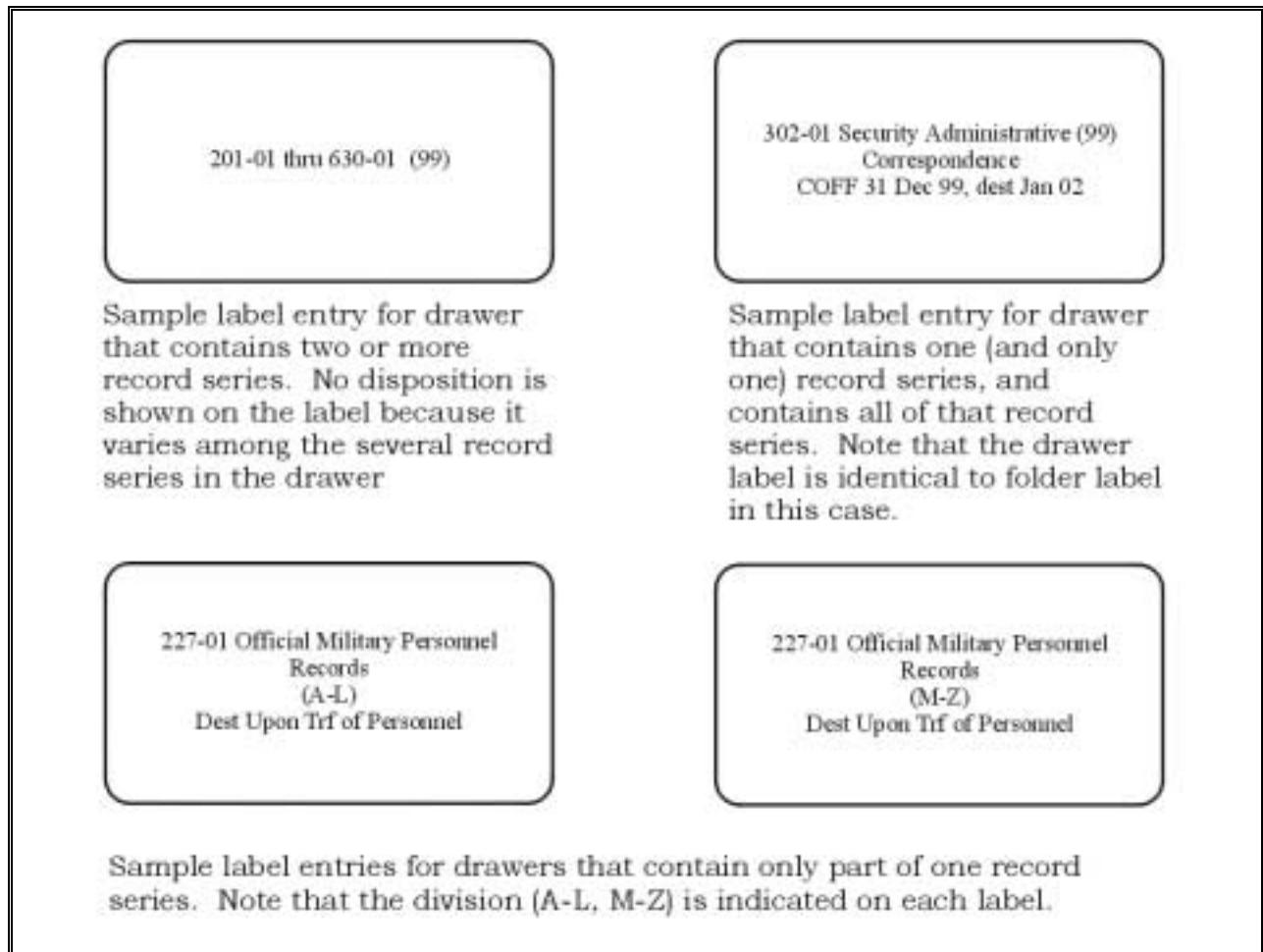


Figure F-F-5. Drawer Labels

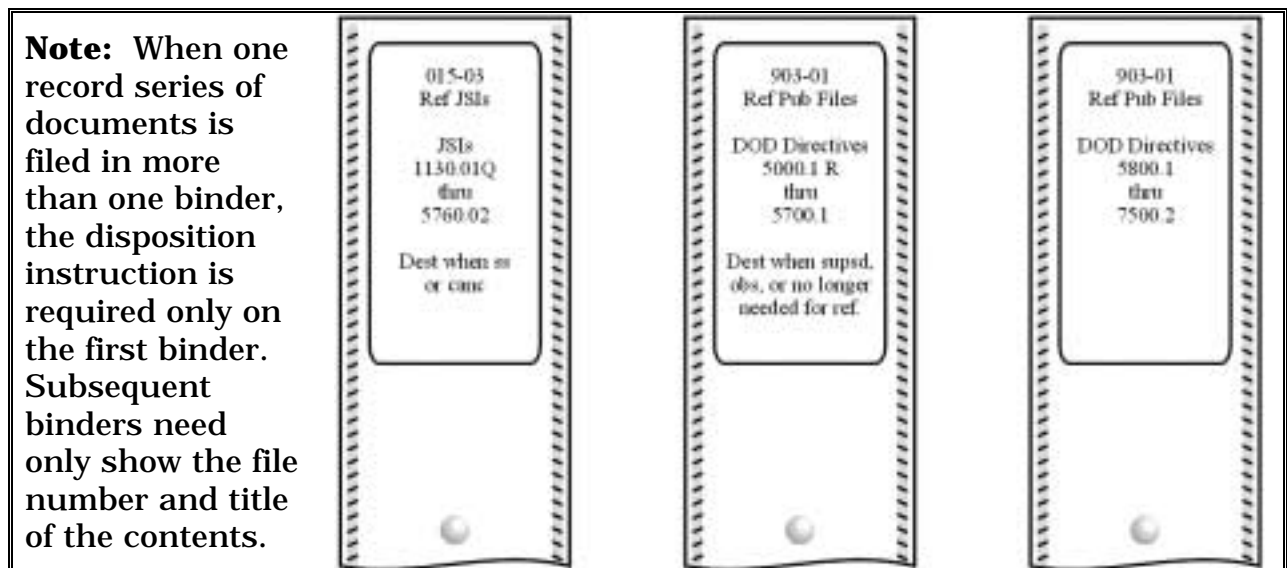


Figure F-F-6. Binder Labels

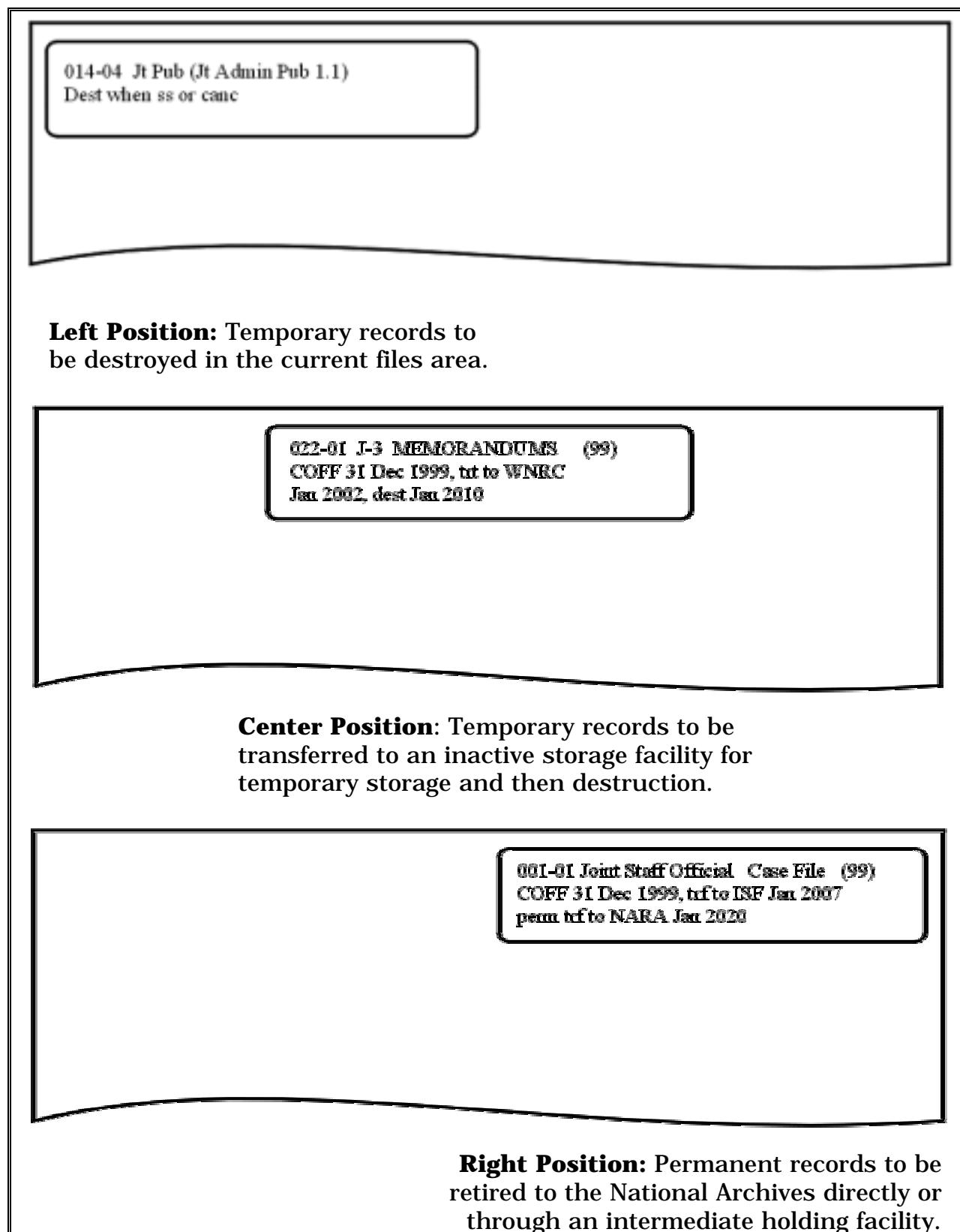


Figure F-F-7. Positioning File Folder Labels

APPENDIX F TO ENCLOSURE F

JOINT STAFF FORM 30: "JOINT STAFF RECORDS MANAGEMENT SURVEY"

JOINT STAFF RECORDS MANAGEMENT SURVEY	
1. Directorates/Other JS Offices:	2. Division/Branch & Room Number:
3. Record Series Description:	
4. Security Classification: <input type="checkbox"/> UNCLAS Special Access: <input type="checkbox"/> SCI Channels <input type="checkbox"/> CONFIDENTIAL <input type="checkbox"/> Special Control <input type="checkbox"/> SECRET Channels <input type="checkbox"/> TOP SECRET <input type="checkbox"/> None <input type="checkbox"/> Other (Specify)	
5. a. Filing Arrangement: c. Files cut off by <input type="checkbox"/> Calendar Year <input type="checkbox"/> Alphabetical (subject) <input type="checkbox"/> Fiscal Year <input type="checkbox"/> Chronological <input type="checkbox"/> Other (specify) <input type="checkbox"/> Numerical <input type="checkbox"/> Geographical (country/region) d. Index/table of contents? <input type="checkbox"/> Yes <input type="checkbox"/> Other (specify) <input type="checkbox"/> No b. Maintained in <input type="checkbox"/> file folders <input type="checkbox"/> binders <input type="checkbox"/> other (specify)	
6. Current Volume & Inclusive Dates:	8. Frequency of Retrieval (after 1 year old):
_____ cu ft _____ to _____ (mo/yr) (mo/yr)	<input type="checkbox"/> Weekly <input type="checkbox"/> Once per month <input type="checkbox"/> Once every 6 months <input type="checkbox"/> Once per year <input type="checkbox"/> Once every 3 years <input type="checkbox"/> Never
7. Rate of Accumulation:	
_____ cubic feet/year —or— _____ linear inches/year	
9. Current Disposition: <input type="checkbox"/> Retained for _____ yr(s) and destroyed. <input type="checkbox"/> Retained for _____ yr(s) and transferred to _____ <input type="checkbox"/> Retained indefinitely. <input type="checkbox"/> Other (specify)	
10. Material is <input type="checkbox"/> the official Joint Staff record copy <input type="checkbox"/> extra copy	
11. Recommended Disposition: (select a or b) After retention in current files area for <input type="checkbox"/> 1 yr <input type="checkbox"/> 2 yr <input type="checkbox"/> _____ a. <input type="checkbox"/> Recommend authority to destroy. b. Recommend transfer of the series to a records holding area for: (select 1 or 2) (1) Further temporary storage of <input type="checkbox"/> 3 yrs <input type="checkbox"/> 5 yrs <input type="checkbox"/> 10 yrs <input type="checkbox"/> _____ (2) Permanent retention.	
12. Remarks: (continue on reverse, if necessary)	
13. Name, Rank, & Telephone Number:	14. Date:

JS FORM 30 AUG 99 (EG)

Previous Editions Obsolete

SEE EQUIVALENTS ON REVERSE

VOLUME EQUIVALENTS

1. The volume of records is stated in cubic feet, as this expression provides a realistic geometric image of the amount of space actually occupied. The conversion factors below should be applied to determine the volume of records on hand.

2. Precise volume measurements are not necessary, but reasonable accuracy may be obtained by using the conversion equivalents. Measurements should be expressed to the nearest cubic foot. If the file contains a mixture of letter and legal-size material, the larger expression of legal-size should be used.

Filing cabinets:

One letter-size drawer = 1 1/2 cubic feet
One legal-size drawer = 2 cubic feet

Filing cases:

One 3-by 5-inch case = 1/10 cubic foot
One 4-by 8-inch case = 1/4 cubic foot
One 5-by 8-inch case = 1/4 cubic foot

Shelf files:

Letter-size, 1 linear foot = 4/5 cubic foot
Legal-size, 1 linear foot = 1 cubic foot

Tabulating cards:

10,000 cards = 1 cubic foot

Outsized equipment:

inside cubic measurement

Magnetic tape:

Seven reels = 1 cubic foot

Microfilm:

100 16mm reels (100 feet) = 1 cubic foot
50 35mm reels (100 feet) = 1 cubic foot

Still pictures:

Negatives

2300 35mm 6 exposure strips = 1 cubic foot
8640 2-by 2-inch mounted slides = 1 cubic foot
2184 4-by 5-inch film sheets = 1 cubic foot
5960 2 1/4-by 3 1/4-inch film sheets = 1 cubic foot

Prints

2350 8-by 10-inch glossies or contact sheets = 1 cubic foot
9400 4-by 5-inch glossies = 1 cubic foot

Motion pictures:

Six 35mm reels (1000 feet) = 1 cubic foot
11 16mm reels (1200 feet) = 1 cubic foot
15 16mm reels (800 feet) = 1 cubic foot
32 16mm reels (400 feet) = 1 cubic foot

Sound recording:

76 16 inch disc recordings = 1 cubic foot
144 12 inch disc recordings = 1 cubic foot
48 7 inch audiotape reels = 1 cubic foot
16 10 inch audiotape reels = 1 cubic foot

Video recordings:

Ten 3/4 inch cassettes = 1 cubic foot
Three 2 inch reels = 1 cubic foot
Nine 1 inch reels = 1 cubic foot
43 1/2 inch reels = 1 cubic foot

Remarks (continued)

APPENDIX G TO ENCLOSURE F

JOINT STAFF FORM 62: "JOINT STAFF CHARGE-OUT RECORD"

[illegible]

JOINT STAFF CHARGE OUT RECORD				
DATE DD/MM/YY	JOINT STAFF CASE FILE DOCUMENT NO. OR SUBJECT (INCLUDING DATE, CLASSIFICATION, PART/SECTION NO.)	REMOVED BY SIGNATURE (NAME)	CHARGEOUT TO OFFICE OR AGENCY	RETURNED DATE AND INITIALS

NOTE: UNDER NO CIRCUMSTANCES WILL JS RECORDS OR DOCUMENTS BE REMOVED FROM LOCATION WITHOUT COMPLETING THIS FORM AND INSERTING IN PLACE THEREOF IN FOLDER OR AREA REMOVED. THIS FORM WILL BE REMOVED UPON RETURN AND THE RETURNED COLUMN ABOVE WILL BE COMPLETED.

APPENDIX H TO ENCLOSURE F
FILING EQUIPMENT AND SUPPLIES

1. Purpose. In accordance with reference w, this appendix provides policy and procedures for Joint Staff procurement and use of filing equipment and supplies. This includes all containers, machines, devices, and furniture used to maintain and service files, exclusive of records storage boxes mandated by NARA. Headquarters Combatant Command Records Managers are required to establish such procedures and may use this enclosure as a model for that purpose.

2. Conservation

a. The Joint Staff will utilize the most efficient and economical filing equipment available to meet requirements and will not request equipment solely to improve appearance or secure the latest design. Used or reconditioned equipment will be utilized when available. Excess equipment will be returned to supply for redistribution. Filing equipment will not normally be used to store blank forms, publications, office supplies, or other such materials. When so used, only small amounts of materials will be stored in space not needed for records.

b. Filing supplies will be conserved by limiting the volume of material placed in folders and file drawers so that new materials may be inserted and/or withdrawn without damaging folders, by placing folders and guides in drawers so that their bottom edges rest flat on the drawer bottom, and by reusing folders and guides whenever possible.

3. Standardization. Standard filing equipment and supplies listed in the GSA Catalog, Federal Supply Schedules, and Defense Services Fund Catalog will be used. Nonstandard equipment will be obtained only when completely justified and approved by RMAS Br.

a. Equipment. The 5-drawer filing cabinet has been the standard because it provides 25 percent more filing area in the same amount of floor space as the 4-drawer cabinet; however, shelf filing equipment costs less, requires less office space, and permits ease of filing. Careful consideration will be given to selecting the file cabinet for a particular files operation. Shelf filing equipment may be more appropriate than filing cabinets for records that are alphabetically or numerically arranged, such as case or project files. Shelf filing equipment should be considered when records total 50 cubic feet or more and when:

(1) The purchase of filing equipment is contemplated.

(2) Additional space for filing operations is required and only a limited amount of space is available.

- (3) The filing station is in a relatively permanent location.
- (4) The area is free from excessive dust and other adverse conditions.
- (5) The area provides the degree of security required.

b. Supplies. The standard files supplies listed below will be utilized to the maximum extent practicable. Available nonstandard items will be used until supplies are exhausted.

(1) Kraft folders (square cut, bottom scored for 1-inch expansion, and available in legal and letter sizes) will meet the majority of filing requirements because most records are current for a relatively short period of time before being retired or destroyed.

(2) Pressboard folders are recommended for case or project files and may also be used for subject files that require extensive handling. The standard pressboard folders are gray, three-position cut, with 1-inch expansion, and available in legal size only.

(3) Wallet jackets are available in legal and letter size for bulky materials.

(4) Pressboard guide cards are also available in legal and letter sizes.

(5) Standard labels are pressure-sensitive, self-adhesive, and available in numerous formats for computer generation, typing, or hand-writing.

4. Equipment for Classified Filing. Classified documents and material will be stored in security containers and filing equipment as authorized by references i and aa. Shelf filing equipment is not authorized for storage of classified material unless located within secure vaulted areas established and protected in accordance with reference i.

5. Requesting Filing Equipment

a. Requisitions for filing equipment will be submitted to RMAS Br through the appropriate Joint Staff records officer. The Joint Staff Support Services Office will process for procurement and/or issue **only** those filing equipment requests approved by RMAS Br.

b. For standard filing equipment, the appropriate Joint Staff officer will review the requesting office files to assess the requirement for additional space prior to submitting the requisition to RMAS Br. The review will ensure that:

- (1) Existing equipment is being properly utilized.
- (2) All records are included in the Joint Staff/Combatant Command Records Disposition Schedule and maintained in accordance with the provisions of this manual.

(3) All eligible permanent records have been retired to the appropriate records center.

(4) Secure filing equipment is not used to store large amounts of unclassified material. Small amounts of unclassified material may be stored in otherwise empty space within classified containers. Classified containers used to maintain unclassified material will be exchanged for file containers suitable for unclassified material.

c. Requests for specialized, nonstandard filing equipment must contain complete documentation of the equipment and justification of the requirement for it.

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ENCLOSURE G

ADMINISTRATIVE INSTRUCTIONS FOR PACKING,
SHIPPING, AND RECALLING RECORDS

1. General. Records management personnel will accomplish the normal transfer and accession of records in accordance with the procedures outlined in this manual, Volumes I and II, and in coordination with the appropriate Joint Staff or Headquarters Combatant Command Records Manager. This includes the transfer of files to inactive storage facilities (ISF), the Federal Records Centers (FRC), and other organizations as a result of transfer of function, and to the accession of permanent records to NARA.

2. Documentation to Accompany Records Transfers

a. Records to be transferred will be identified on SF 135, "Records Transmittal and Receipt," and, as necessary, SF 135-A, "Continuation" (see Appendix A to this enclosure). The SF 135 serves as a packing list for transfer and retirement of files, as a medium for controlling the location and disposition of files in an ISF, and as a receipt for the transaction. The reverse side of the form contains instructions. **Note that separate accession numbers are required for each series of records listed.** In this context, a series refers to all records shipped together under the same disposition schedule authority and having the same disposal date. Upon completing the SF 135/135-A, enter inclusive page numbers in the upper right corner of the forms.

b. Permanent records are offered to NARA on SF 258 (see Annex B to Appendix B to Enclosure E) with the records listed on attached SF 135s.

c. The transfer of records constituting a system of records subject to the Privacy Act of 1974 (reference j) will be accompanied by the most recent Joint Staff/Combatant Command Privacy Act notices covering the system.

3. Routing

a. Records management personnel must submit an original and two copies of the completed forms through the Joint Staff or Headquarters Combatant Command Records Manager to the appropriate ISF for review and final processing before records can be transferred. The Joint Staff/Headquarters Combatant Command Records Manager will retain one copy of the SF 135 and forward two copies to the ISF. The ISF will retain one copy of the SF 135 and return the original through the Joint Staff/Headquarters Combatant Command Records Manager to the originator.

b. **It is imperative** that transferring office retain the return copy of the SF 135 that has been processed through the records center as it is the only source

of information regarding the material transferred. Recall of records from the center is only possible when the accession number and location reflected on the form can be cited on the request for recall.

4. Shipping Containers. Records are customarily transferred in standard GSA cardboard cartons each holding one cubic-foot of records. Nonstandard containers will not be used. Prior written approval is required to retire odd-sized boxes. Special containers may be obtained for oversize materials, punch cards, or magnetic tapes. Authorized containers for retiring, storing, and shipping records to the ISF and NARA are as follows.

a. Standard Box, NSN 8115-00-117-8249. Standard carton for retiring, storing, and shipping letter or legal-size files. 14-3/4 x 12 x 9-1/2 inch fiberboard, lock-bottom box with hand holes and a bursting strength of 175 psi. (See Appendix B to this enclosure, Figure G-B-1.)

b. Half-Size Box, NSN 8115-00-117-8338. For 3 x 5 inch file cards, punch cards, and card-sized documents. 14-3/4 x 9-1/2 x 4-7/8 inch fiberboard, regular-slotted box with a bursting strength of 200 psi.

c. Magnetic Tape Box, NSN 8115-00-117-8347. For magnetic tape records only. 14-3/4 x 11-3/4 x 11-3/4 inch fiberboard, lock-bottom box with hand holes and a bursting strength of 275 psi.

d. Microfiche Box, NSN 8115-01-025-3254. For 4 x 6 inch microfiche only. 15 x 7 x 5 inch fiberboard box.

e. X-Ray Box, NSN 8115-00-290-3386. For shipping 5 x 8 inch card files and automated data processing runs. 18 x 15 x 5-1/2 inch fiberboard, regular-slotted box with a bursting strength of 200 psi.

f. Mailing Tubes, NSN 8110-00-291-0345 and - 0348. For shipping rolled records (e.g., maps and charts) that may not be folded and shipped in standard containers. 36 x 2 inch and 42 x 4-1/2 inch fiberboard tubes.

Note: "Lock-bottom" boxes are preferred for records shipments of documents to Site R, ISF, and NARA. If a lock-bottom box is not used, the bottoms must be securely taped. Use nylon filament tape which is more long lasting than masking tape.

5. Packing Procedures. (See Appendix B to this enclosure, Figures G-B-2 and G-B-3.)

a. Pre-Screening Records. Before packing any records, the files should be screened to remove those eligible for disposal as authorized in the Joint Staff/

Combatant Command Records Disposition Schedule in Volume II. Also remove and destroy extra carbon or reproduced copies, obsolete reference material, and blank forms.

b. Segregating Records. Records having different retention periods will be packed in different boxes under different accession numbers. Different types of media (e.g. paper and microfilm, or motion picture film and magnetic tape) will also be packed in different boxes under different accession numbers. As a general rule, unclassified material should be segregated and shipped separately when it consumes 50 percent or more of a shipment of 10 cubic feet, and 25 percent or more of a shipment in excess of 10 cubic feet.

c. Positioning Records within Containers

(1) Letter and legal size files will be packed in fiberboard boxes. When filled to capacity, these boxes will hold 15 inches of letter-size or 12 inches of legal-size files. The dimensions of the corrugated fiberboard boxes are such that when the containers are filled to capacity packing material is not required between the files and the inner walls of the box. In packing partially filled boxes, the space between the files and the inner walls will be packed with crumpled or wadded paper or other suitable packing material to prevent movement of the contents during shipment. Excelsior, shredded paper, or surplus file folders will **not** be used as packing material.

(2) The records in the boxes must be in searchable order; if not, the FRC may refuse the shipment. Folders should be placed in an upright position; if letter size, they should all face the front; if legal size, they should all face the same side. Do not place folders on top of one another. Follow a strict alphabetic or numeric order within each box.

(3) Nontextual media may require different packing arrangements but should still be placed in the box in searchable order.

(4) Boxes will be filled to capacity whenever sufficient files are available; however, care will be exercised to ensure that boxes are not packed so tight that files or other contents cannot be serviced while in the container, or that the box cannot be completely closed with the flaps folded flat. Leave 1/2 inch space in each box. A box must be at least three quarters full unless it is the last box of an accession.

6. Marking Procedures. (See Appendix B to this enclosure, Figures G-B-4, G-B-5, and G-B-6.)

a. Do not use paste-on labels. Print the required information on the end of each box in black grease pencil or crayon, or magic or felt-tip marker, in

numbers 1-1/2 to 2 inches high. Numbering smaller than standard-sized boxes may be smaller, but activities should attempt to use numbers at least 1-1/2 inches high whenever possible.

b. Each series of records transferred will be assigned a separate accession number. On the front of the box (12 x 9-1/2 inch end), print the accession number **boldly** in the upper left corner and the box number and number of boxes in the upper right corner. Center the office name or designation on the next line below the accession and box numbers.

c. Do not obscure the accession number or box number with tape or write the accession and box numbers on the tape used to seal the box.

7. Shipping Procedures

a. All shipment of records to an ISF will be coordinated with the appropriate Joint Staff/Headquarters Combatant Command Records Manager prior to shipment. Once the approved SF 135 has been received from an ISF and the records have been packed and are ready for shipment, the shipping agency will ensure that the number of boxes in the accession match the number of boxes listed on the SF 135 and will place a copy of the SF 135 in the first box of each accession.

b. For agencies outside the Washington, DC, area, the FRC requires an advance notification of any shipment of records containing 50 boxes or more. The transferring agency will be required to provide the ISF the estimated date, and if possible, the time that the shipment of records will arrive at their facility.

c. Clear plastic wrapping may be used to wrap records being shipped to the ISF if needed for protection. Dark heavy plastic shipping wrap will not be used as it makes it impossible to verify identification markings on boxes.

d. Transferring agencies will be responsible for obtaining the necessary transportation to the ISF. The ISF will provide pickup service for shipments of records classified SECRET and below containing 24 boxes or more. If records are to be picked up by the ISF, they must be properly arranged on a skid or pallet. (See Appendix C to this enclosure.) When shipments are not properly arranged, it is difficult to determine if the entire shipment is present or if the number of boxes in the accession matches the number listed on the SF 135.

8. Transfer and Storage of Classified Records

a. General

(1) Prior to transferring classified material, it should be ascertained whether or not the material can be legitimately downgraded in accordance with reference i or destroyed in accordance with the disposition schedule consistent

with applicable security regulations. When eligible for retirement and when not authorized for downgrade or destruction, classified records, like unclassified records, should be transferred to the appropriate records center. In completing the SF 135, column (g) (restrictions) must be filled in to indicate the security classification. The series description in column (f) must be carefully completed and will not include classified information.

(2) Classified files are packed the same as unclassified files. The shipment of large quantities of unclassified material in classified shipments is discouraged. As a general rule, unclassified material should be segregated and shipped separately when it consumes 50 percent or more of a shipment of 10 cubic feet, and 25 percent or more of a shipment in excess of 10 cubic feet.

(3) FRC instructions prohibit marking the outside of a container with the security classification of the material therein; however, appropriate security measures will be exercised in packing, handling, and transferring the material until the cartons are physically accepted by records center personnel.

b. TOP SECRET Material. When eligible for retirement, TOP SECRET material will be transferred to the records center. The SF 135 will be completed as for any other classified records. To facilitate identification for future classification review action, an SF 135-A (continuation sheet) will also be prepared listing all TOP SECRET documents under each file heading (see Annex A to Appendix A to this enclosure). TOP SECRET records will be either hand-carried to the records center by the OPR, or couriered there by the Defense Courier Service (DCS). Use JS Form 48, "Distribution Authorization Sheet for Inactive Storage Facility," to ship TOP SECRET records through DCS (See Appendix D to this enclosure).

c. SIOP Material. Records containing SIOP-ESI information, both temporary and permanent, will not be accessioned or transferred to the FRCs, NARA, or any other non-DOD records repository. Such documentation requiring long-term storage will be stored only in the agency's authorized ISF or the archives approved for SIOP-ESI storage. Personnel handling and maintaining SIOP materials at these facilities must have the appropriate clearances.

9. Recalling Records

a. Authorized Officials. Each Joint Staff/combatant command element is responsible for furnishing to the Joint Staff/Headquarters Combatant Command Records Manager a list of personnel authorized to recall their records, including each individual's name, date of birth, position title, level and date of clearance and by whom granted, and date briefed by the Joint Staff/Headquarters Combatant Command Records Manager. The Joint

Staff/Headquarters Combatant Command Records Manager will provide this information to the appropriate records center(s) and other off-site locations.

Only those individuals so designated, the Joint Staff Records Manager, and the Headquarters Combatant Command Records Managers may recall records submitted to the center(s) and are responsible for recalling and returning accessed records.

b. Recall Procedures. To obtain reference service on records held at the ISF, complete OF 11, "Reference Request - Federal Records Centers" (see Appendix E to this enclosure), available in JetForm Formflow. Complete a separate form for each item requested, furnishing the accession number, box number, records center location shown on the SF 135 file copy, and the name, address, and telephone numbers of the requester. Mail the completed form to the appropriate ISF. To obtain reference service on records held at NARA, contact the appropriate Joint Staff/Headquarters Combatant Command Records Manager.

Note: The use of urgent requests will be minimized; however, when essential, contact the appropriate Joint Staff/Headquarters Combatant Command Records Manager for assistance in expediting urgent requests for records recall.

APPENDIX A TO ENCLOSURE G

SF 135: "RECORDS TRANSMITTAL AND RECEIPT"

RECORDS TRANSMITTAL AND RECEIPT										PAGE 1 OF 2 PAGES	
1. TO: (Complete the address for the records center serving your area as shown in 38 CFR 122B.150.) Federal Records Center					5. FROM: (Enter the name and complete mailing address of the office retaining the records. The signed receipt of this form will be sent to this address.) Joint Staff - Joint Secretariat Information Management Division ATTN: Records Management and Automation Support Branch 400 Joint Staff Blvd Washington, DC 20318-0400						
2. AGENCY TRANSFER AUTHORIZATION		TRANSFERRING AGENCY OFFICIAL (Signature and title) STERLING S. SMITH, JR. Joint Staff Records Manager			DATE 1/1/01						
3. AGENCY CONTACT		TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.) Charlie H. Jones, MSgt, J-5 MILSEC - J-5 Records Officer, Room 2E1016 - Ext (703) 697-5432									
4. RECORDS CENTER RECEIPT		RECORDS RECEIVED BY (Signature and title)			DATE						
6. RECORDS DATA										Full Line	
ACCESSION NUMBER			VOLUME	AGENCY BOX NUMBER	SERIES DESCRIPTION (With inclusive dates of records)	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
NO	FY	NUMBER	(Vol. #)	(Box #)	(#)	(#)	(#)	LOCATION	SELF	SENT	RECEIVED
(#)	(#)	(#)	(#)	(#)	(#)	(#)	(#)	(#)	(#)	(#)	(#)
218	1	1234	4	1-4	J-5 Numbered Memorandum - 1 Jan 1999 thru 31 Dec 1999 - J-5M 99-0001 thru J-5M 99-8990 with Master Index Listing	CJCSM 5760.02, Vol II, 0022-01	1/2010				
				1	Master Index Listing and J-5 Memos - 1 Jan 99-31 Mar 99 (J-5M 99-0001 thru 2150 - Less 24, 98, 1015, 2123)						
				2	J-5 Memos 1 Apr 99 - 30 Jun 99 (J-5M 99-2151 thru 99-4150 - Less 2589, 3840, 4067)						
				3	J-5 Memos 1 Jul 99 - 30 Sep 99 (J-5M 99-4151 thru 99-6235 - Less 4790, 5788, 6145, 6111)						
				4	J-5 Memos 1 Oct 99 - 31 Dec 99 (J-5M 99-6236 thru 99-8990 - Less 6589, 7904, 8198, 8689)						
				NOTE	ACCESS TO THESE RECORDS IS RESTRICTED TO J-5 JOINT STAFF OFFICIAL ONLY!						
					CODE: TEX						

Standard Form 135 (Rev. 7-85) (EG)
Prescribed by NARA
38 CFR 122B.152
Designed using Perform Pro, WHS-D008, Jun 94

INSTRUCTIONS FOR COMPLETION OF STANDARD FORM 135

FOR COMPLETION BY THE TRANSFERRING AGENCY

Items 1, 2, 3 and 5 are self-explanatory. Specific instructions for item 6 are as follows:

Col.

Accession Number. A separate accession number is required for each series of records listed on the form. A series consists of records having the same disposal authority and disposal date that are transferred together to the records center. The accession number is entered in three parts, consisting of:

- (a) The NARA record group number assigned to the records of the agency making the transfer;
- (b) The last two digits of the current fiscal year; and
- (c) A four digit number obtained in advance from the records center. (Arrangements may be made with the center to have these numbers assigned by the agency records officer or other official.)
- (d) *Volume.* Enter the volume in cubic feet of each series of records being transferred.
- (e) *Agency Box Numbers.* Show the inclusive box numbers for each series of records being transferred. The agency shall number each carton sequentially as follows: 1 of 25, 2 of 25, 3 of 25, etc. (Each new series of records should begin with carton number 1.) To facilitate control of the records and future reference service, the agency also shall mark each container with the assigned accession number prior to shipment.
- (f) *Series Description.* Describe the records in sufficient detail to allow the records center to check for proper application of the disposal schedule. Inclusive dates of the records should be indicated. Show the organizational component that created the records when it is other than that shown in item 5.
- (g) *Restriction.* Enter one of the following codes to show a restriction on use of the records. Restrictions other than (or in addition to) security classifications, such as limiting access to certain agency officials, are to be specified by a statement in the Series Description column (f).

<i>Code</i>	<i>Restrictions</i>
Q	Q security classification
T	Top Secret security classification
S	Secret security classification
C	Confidential security classification
R	Restricted use - witnessed disposal <i>not required</i> (specify in column (f))
W	Restricted use - witnessed disposal <i>required</i> (specify in column (f))
N	No restrictions

- (h) *Disposal Authority.* For each series of records, cite the agency schedule and specific item number authorizing disposal. Cite the NARA disposal job and item number if it has not been incorporated into an updated agency schedule.
- (i) *Disposal Date.* Applying the disposal authority previously cited in column (h), enter the month and year in which the records may be destroyed.

FOR COMPLETION BY THE RECORDS CENTER

Item 4 is self-explanatory. Specific instructions for item 6 are as follows:

Col.

- (j) *Location.* The records center annotates the shelf location of the first carton for each series of records.
- (k) *Shelving Plan.* The records center enters the appropriate code from Chap. 7-10e, HB, Records Center Operations (NAR P 1864.1A), to reflect the shelving system.
- (l) *Container Type.* The records center enters the appropriate code from Chap. 7-10h, NAR P 1864.1A, to reflect the type of container in which the records are retired.
- (m) *Automatic Disposal.* The records center enters either *Y* (yes) to indicate automatic disposal applies or *N* (no) indicating that the agency wishes to receive disposal concurrence notice prior to destruction of the records. Automatic disposal is applied only when previously agreed upon by the agency.

Use Standard Form 135-A, Records Transmittal and Receipt Continuation, when additional space is required for listing records data.

Standard Form 135 Back (Rev. 7-85)

SF 135 LEGEND NOTES

- 1** - The addressee will be the appropriate ISF, except for transfers to other organizations as a result of transfer of functions. For example, the Joint Staff ISF for corporate records (Site R, Ft Ritchie, MD) will be entered in item 1 for records being forwarded to Site R for storage until they are eligible for retirement to NARA.
- 2** - The agency transferring authority is either the Joint Staff or the Headquarters Combatant Command Records Manager. Upon completion of the form, forward to the appropriate Joint Staff or Headquarters Combatant Command Records Manager, who will authenticate the form. (The Joint Staff Records Manager is shown.)
- 3** - Enter name, office symbol, room and telephone numbers of the directorate/office records officer.
- 4** - Leave blank. The signature of the records center or gaining organization representative serves as a receipt for transfer of the records. **It is imperative that the return copy of the SF 135 containing this signature be retained because it is the only source of information regarding the material transferred.** Recall of records from the center is possible only when the accession number and location reflected on the form can be cited on the request for recall.
- 5** - Obtain accession numbers from the appropriate Joint Staff or Headquarters Combatant Command Records Manager.
- 6** - One standard FRC box equals one cubic foot. Count boxes and put total here for each accession. Contact the Joint Staff or Headquarters Combatant Command Records Manager for guidance if other than the standard boxes are used.
- 7** - Show inclusive box numbers for each series of records being transferred.
- 8** - Describe the records in sufficient detail to allow the records center to check for proper application of the disposition schedule. Indicate inclusive dates of records.

- Each series of records and year will require a separate accession number. In this context, a series refers to all records that are shipped together under the same disposition schedule authority and have the same disposal date. (Note: WNRC prefers one accession number per SF 135.)

- The following specific guidance also applies to the series description.
 - Accessions of less than one full box will not be accepted.
 - The description of the records being transferred or retired must be unclassified even if the records it describes are classified.
 - For permanent records, a box-by-box description is required and must agree with the content of the boxes. A list of folder titles of the box contents or equivalent detailed records description will be attached to the SF 135. Enter the transferring directorate name and complete Joint Staff/combatant command mailing address at the top of the first page of the list.
 - For records with an established disposal date, the box-by-box description is not necessary; however, if the box contains TOP SECRET documents, a list of all TOP SECRET documents is required (see Annex A).
 - Records of more than one series are packed in separate boxes.
 - Descriptions of nontextual records must include the nontextual code. See Annex D for a list of nontextual codes.
- 9** - Send original and two copies to the Joint Staff or Headquarters Combatant Command Records Manager, who will forward required copies to the ISF.
- 10** - Enter the complete mailing address of the Joint Staff/combatant command activity transferring the records. (The complete RMAS Br address is shown.)
- 11** - If material is sensitive to disclosure, such as Defense Classified, enter appropriate code from the list on the reverse side of the form. Additionally, the following principles apply.
 - A single classification will be shown for each accession number.
 - Do not show the classification of each document in the box; indicate the highest classification contained in the box.
 - Avoid filing classified documents in an accession number that is predominantly unclassified.
 - Boxes containing RD as defined in the Atomic Energy Act and/or CRITICAL NUCLEAR WEAPONS DESIGN INFORMATION (CNWDI) will have the "Q" designation. Clearly indicate on the SF 135 that access is restricted to

individuals who are cleared for RD or CNWDI, as appropriate, and further that use is restricted to individuals of the office of record transferring the records. (This information can be noted in column [f]. See item 15 below.)

Note: NATO, SCI, or SIOP material will not be transferred to the ISF or retired to NARA.

12 – For each accession, cite the Joint Staff/Combatant Command Records Disposition Schedule (CJCSM 5760.01, Volume II) and specific item number authorizing disposal or retention.

13 – Apply the authority cited in column (h). Enter the month and year in which the record will be destroyed. If the authority is permanent, enter "P" followed by the year the record is scheduled to be retired to NARA, e.g., "P2010."

14 – Leave blank. Columns (j) through (m) will be completed by the records center.

15 – Enter statement indicating that access to the records is limited to officials of the office of record only. (The Joint Staff office of record is shown.) Include any special restrictions in this statement, such as RD or CNWDI.

16 – Include code to describe type of records transferred. ("TEX" indicates textual records. See Annex D for a list of nontextual codes.)

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ANNEX A TO APPENDIX A TO ENCLOSURE G
EXAMPLE OF SF 135-A LISTING TOP SECRET DOCUMENTS

RECORDS TRANSMITTAL AND RECEIPT (Continuation)			This form is to continue listing of Records Data when space on SF 135 is not adequate. Instructions for completion of SF 135 apply.		TRANSFERRING AGENCY'S NAME STERLING S. SMITH, JR Asst Staff Records Manager		DATE 1/1/01	PAGE 2 OF 2	
ACCESSION NUMBER			VOLUME (see A-1)	AGENCY REF NUMBERS	SERIES DESCRIPTION (with inclusive dates if verbatim)	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER	
NO	BY	NUMBER	NO	NO	NO	NO	NO	LOCATION	DATE
218	1	1234			LIST OF TOP SECRET DOCUMENTS				
				1	J-5M 99-0036, 15 Jan 99, Subject: Nuclear Testing Restrictions (U), Copy #34, TS Contr # 99-3456				
					J-5M 99-0234, 4 Feb 99, Subject: Special Troops Movements (U), Copy #78, TS Contr # 99-6798				
				2	J-5M 99-2345, 11 Apr 99, Subject: Weapons Negotiations Requirements (U), Copy #130, TS Contr # 99-11234				
				4	J-5M 99-8734, 28 Nov 99, Subject: Partnership for Peace Policy Recommendations (U), Copy 3, TS Contr # 99-12367				
					////////// LAST ITEM //////////				

Previous edition obsolete

Standard Form 135-A (Rev. 7-85) (G)
Prescribed by MARS
36 CFR 1228.192
Designed using Perfom Pro, WMS/SMR, Jun 94

Annex A
Appendix A
Enclosure G

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LEGEND NOTES FOR SF 135-A LISTING TOP SECRET DOCUMENTS

- 1** - Enter the appropriate accession number of the box containing the TOP SECRET materials.
- 2** - Leave blank.
- 3** - Enter box number that contains the TOP SECRET materials.
- 4** - Describe the records in sufficient detail to allow for accountability of the documents and for future classification review action (e.g. control numbers, dates, subjects).
- 5** - The agency transferring authority is either the Joint Staff or the Headquarters Combatant Command Records Manager. (Same information as Item 2 on SF 135.)
- 6** - Enter inclusive page numbers.
- 7** - Leave blank. Columns (h) and (i) refer to the SF 135. Columns (j) through (m) will be completed by the records center.

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ANNEX B TO APPENDIX A TO ENCLOSURE G

NONTEXTUAL CODES FOR SF 135, BLOCK 6.(F), "SERIES DESCRIPTION"

<u>CODE</u>	<u>DESCRIPTION</u>
ARF	ARTIFACTS (INCLUDES MUSEUM ITEMS)
AVM	AUDIOVISUAL MATERIAL
BND	BOUND VOLUMES
DRA	ARCHITECTURAL AND ENGINEERING DRAWINGS
EDD	ELECTRONIC DATA PROCESSING, FLEXIBLE DISKS
EDH	ELECTRONIC DATA PROCESSING, HARD DISKS
EDO	ELECTRONIC DATA PROCESSING, OPTICAL DIGITAL DATA DISKS
EDP	ELECTRONIC DATA PROCESSING, UNSPECIFIED
EDT	ELECTRONIC DATA PROCESSING, MAGNETIC TAPE
EIR	ELECTRONIC IMAGING RECORDS
FDN	MICROFICHE, DIAZO NEGATIVE
FON	MICROFICHE, OTHER NEGATIVE
FSN	MICROFICHE, SILVER HALIDE NEGATIVE
FSP	MICROFICHE, SILVER HALIDE POSITIVE
FUN	MICROFICHE
FVN	MICROFICHE, VESICULAR NEGATIVE
FVP	MICROFICHE, VESICULAR POSITIVE
GRA	GRAPHIC ART
MAP	MAP
MBN	MOTION PICTURE FILM, BLACK AND WHITE NEGATIVE
MBP	MOTION PICTURE FILM, BLACK AND WHITE POSITIVE
MCN	MOTION PICTURE FILM, COLOR NEGATIVE
MCP	MOTION PICTURE FILM, COLOR POSITIVE
MDN	MICROFILM, DIAZO NEGATIVE
MDP	MICROFILM, DIAZO POSITIVE
MIC	MICROFILM, UNSPECIFIED
MON	MICROFILM, OTHER NEGATIVE
MOP	MICROFILM, OTHER POSITIVE
MPF	MOTION PICTURE FILM, UNSPECIFIED
MSN	MICROFILM, SILVER HALIDE NEGATIVE
MSP	MICROFILM, SILVER HALIDE POSITIVE
MVN	MICROFILM, VESICULAR NEGATIVE
MVP	MICROFILM, VESICULAR POSITIVE
MYL	MYLAR SHEETS
PBN	PHOTOGRAPHS, BLACK AND WHITE NEGATIVE
PBO	PHOTOGRAPHS, BLACK AND WHITE OTHER
PBP	PHOTOGRAPHS, BLACK AND WHITE PRINTS
PCN	PHOTOGRAPHS, COLOR NEGATIVES
PCO	PHOTOGRAPHS, COLOR OTHER

PCP	PHOTOGRAPHS, COLOR PRINTS
PHA	PHOTOGRAPHS, AERIAL
PHO	PHOTOGRAPHS, UNSPECIFIED
PRM	PRINTED MATERIAL
ROX	ROCK, CORE, AND PETROGRAPHIC SAMPLES
SEI	SEISMOGRAMS
SRC	SOUND RECORDINGS, TAPE CASSETTE
SRD	SOUND RECORDINGS, DISC
SRE	SOUND RECORDINGS, 8-TRACK CARTRIDGE
SRF	SOUND RECORDINGS, 45 RPM
SRL	SOUND RECORDINGS, LP
SRO	SOUND RECORDINGS, OTHER
SRT	SOUND RECORDINGS, OPEN TAPE (REEL TO REEL)
SRU	SOUND RECORDS, UNSPECIFIED
TEX	TEXTUAL
TRN	TRANSPARENCIES
VDB	VIDEO RECORDINGS, BETA FORMAT TAPE CASSETTE
VDP	VIDEO RECORDINGS, "PROFESSIONAL" TAPE CASSETTE
VDV	VIDEO RECORDINGS, VHS FORMAT TAPE CASSETTE
VID	VIDEO RECORDINGS, UNSPECIFIED
XRA	XRAYS

APPENDIX B TO ENCLOSURE G
USING A FEDERAL RECORDS CENTER STORAGE BOX

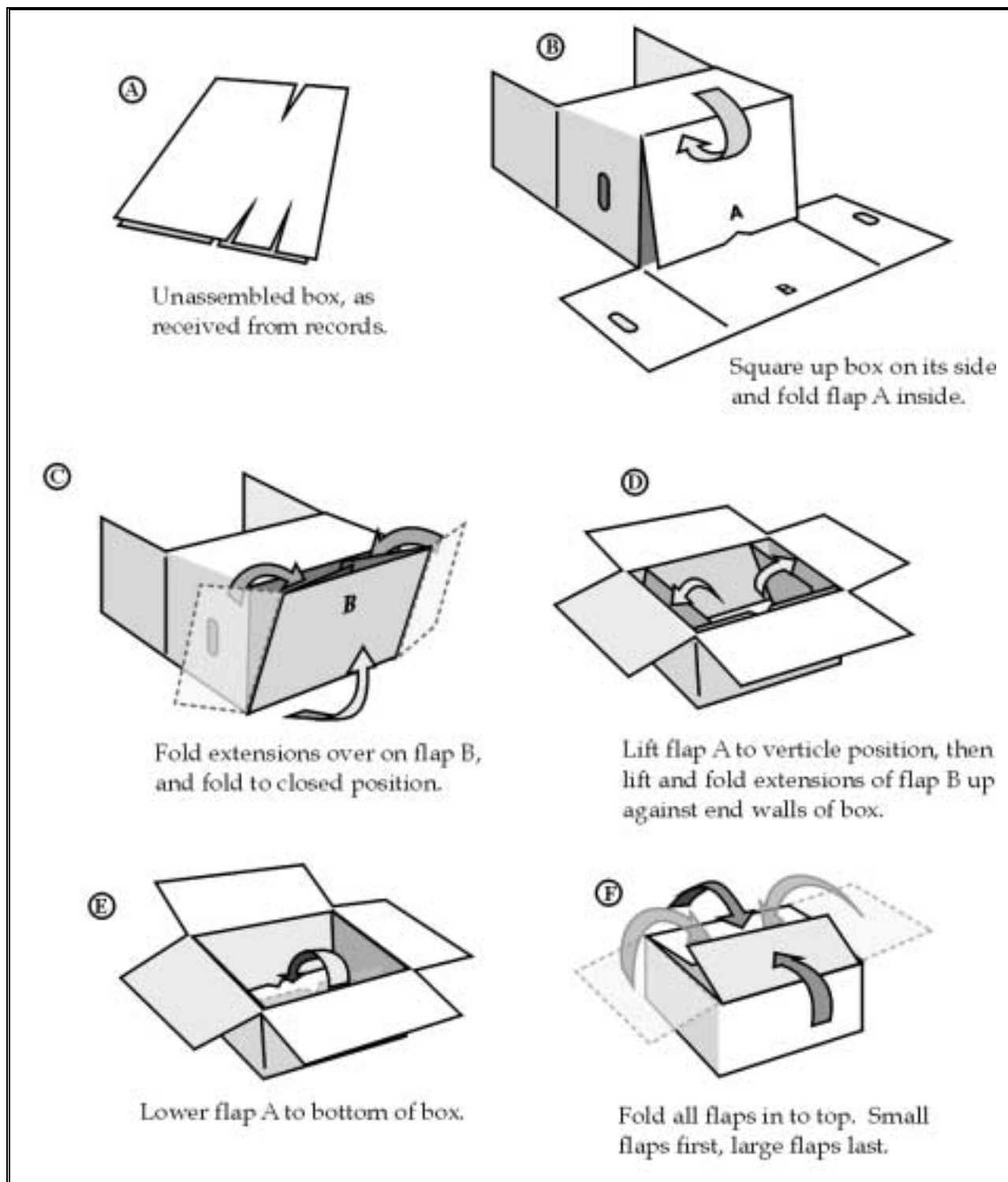


Figure G-B-1. Assembling a Standard Files Shipping Box # 8115-00-117-8249

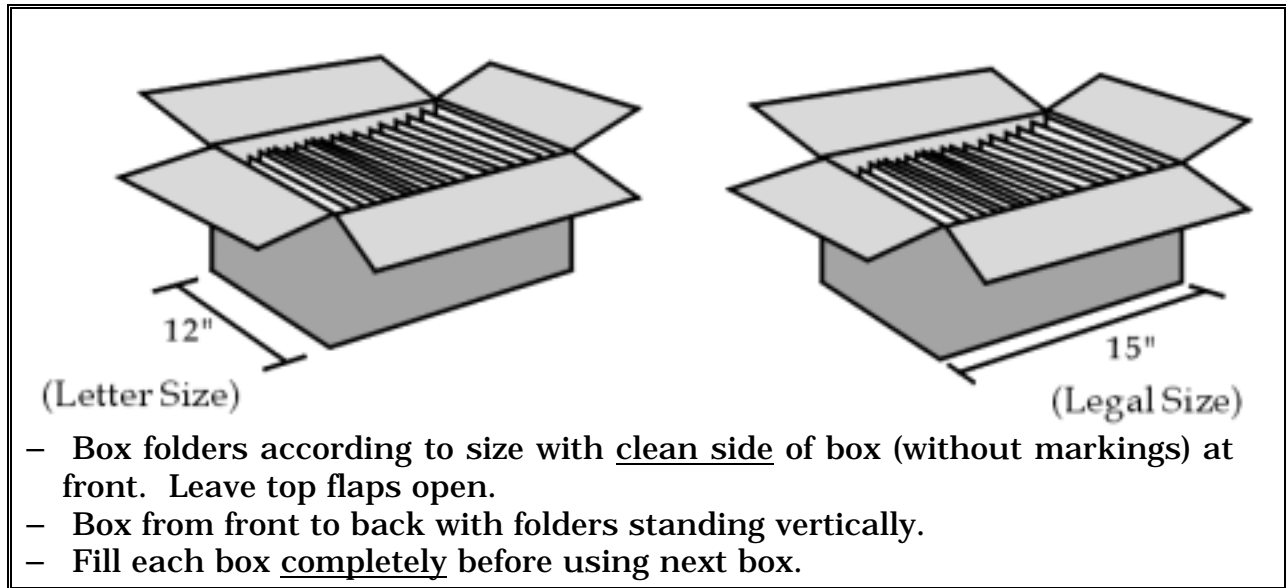


Figure G-B-2. Packing a Standard Files Shipping Box

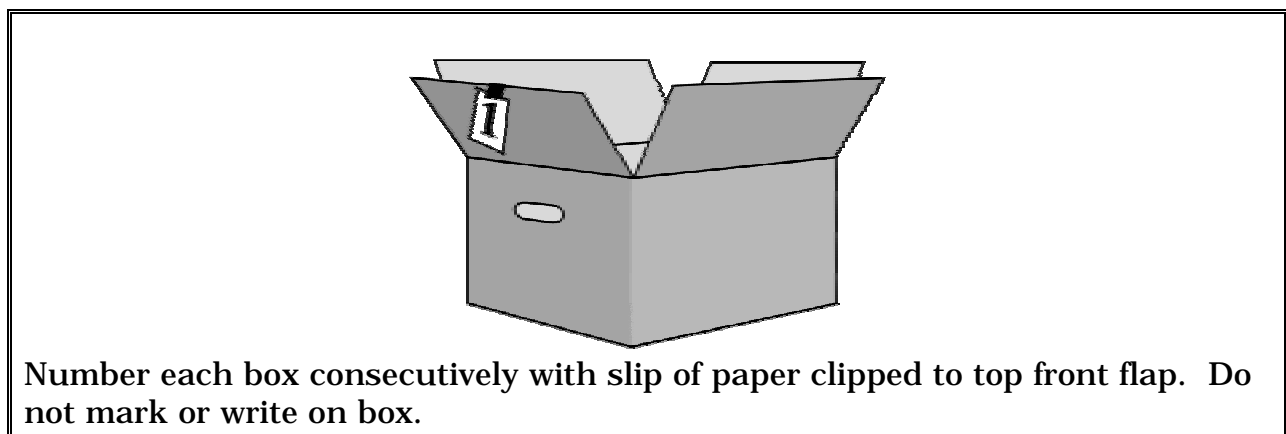


Figure G-B-3. Numbering a Shipping Box

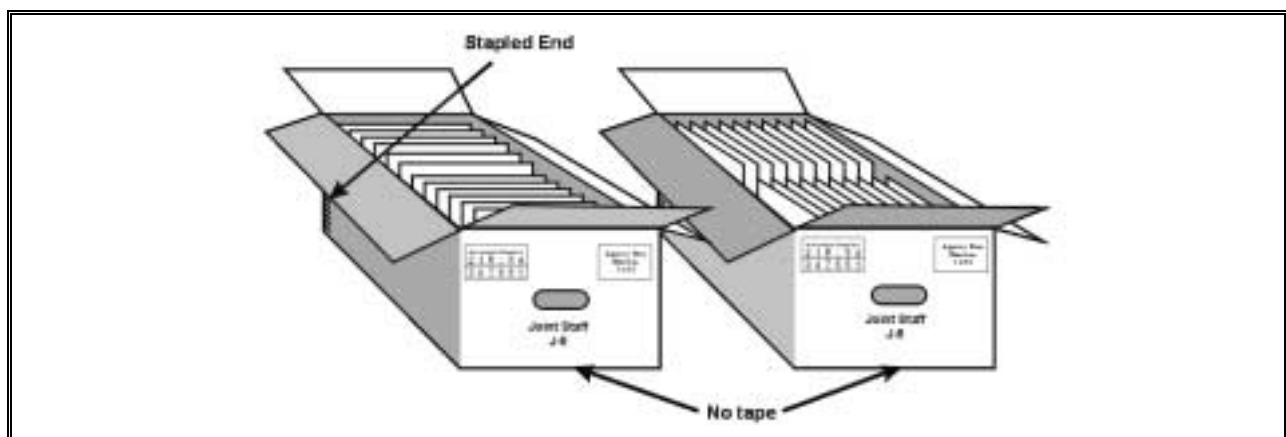


Figure G-B-4. Marking Shipping Boxes

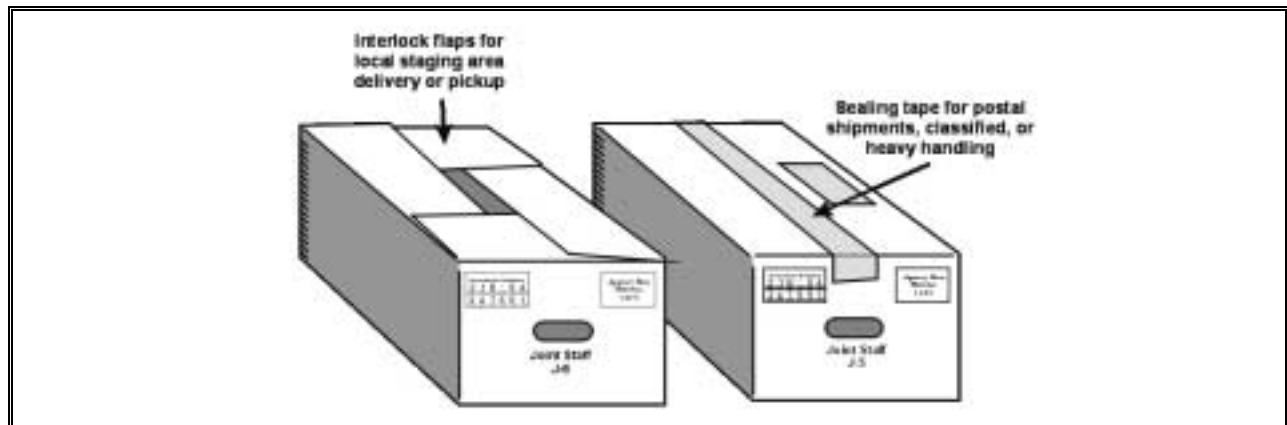


Figure G-B-5. Packing Documentation for Transfer or Retirement

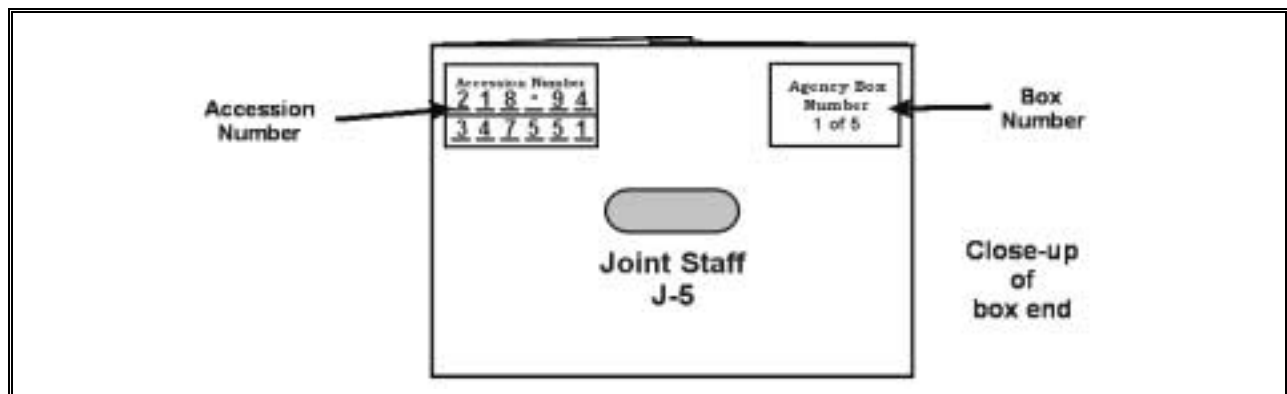


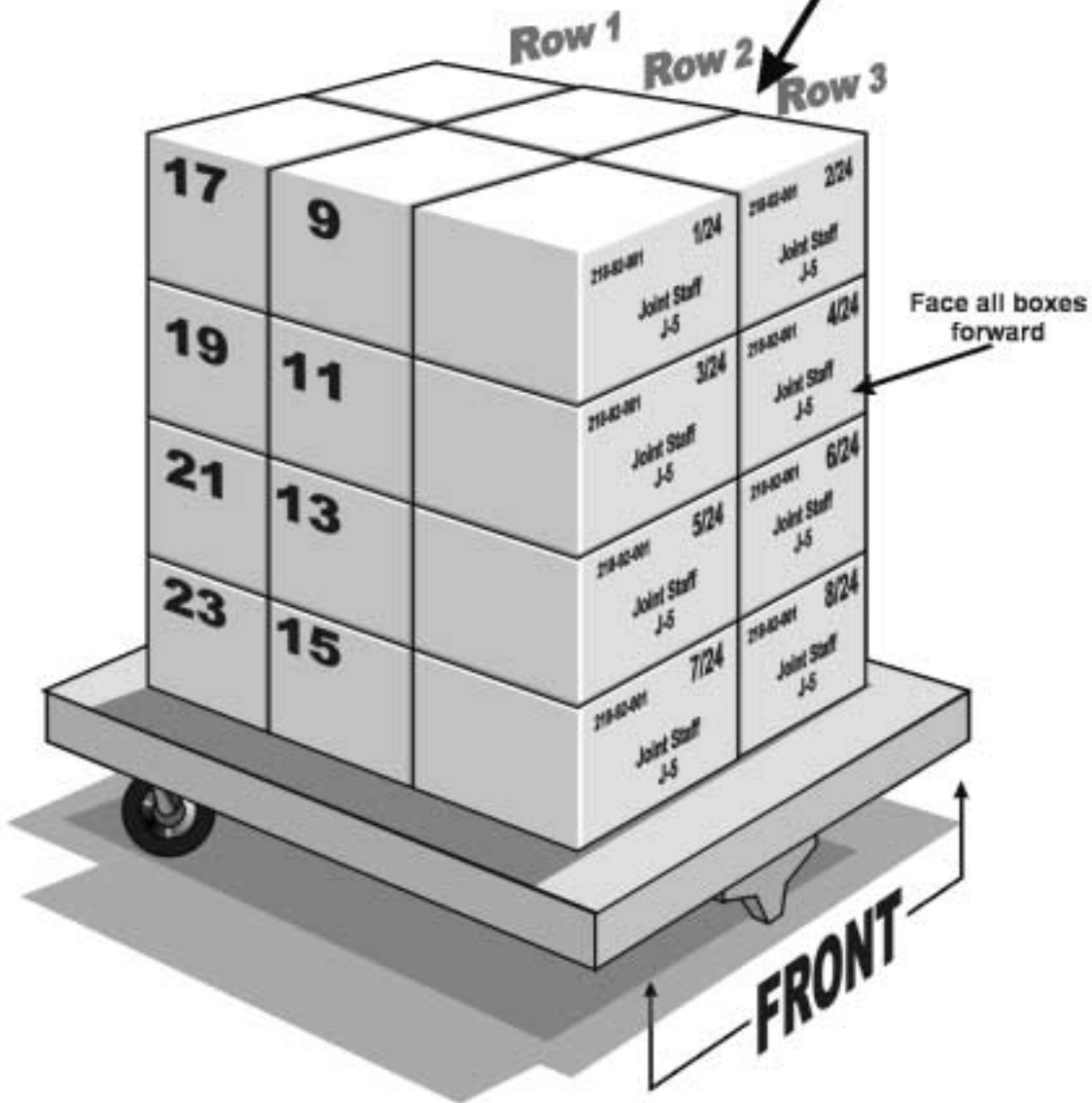
Figure G-B-5. Closing and Sealing Shipping Containers

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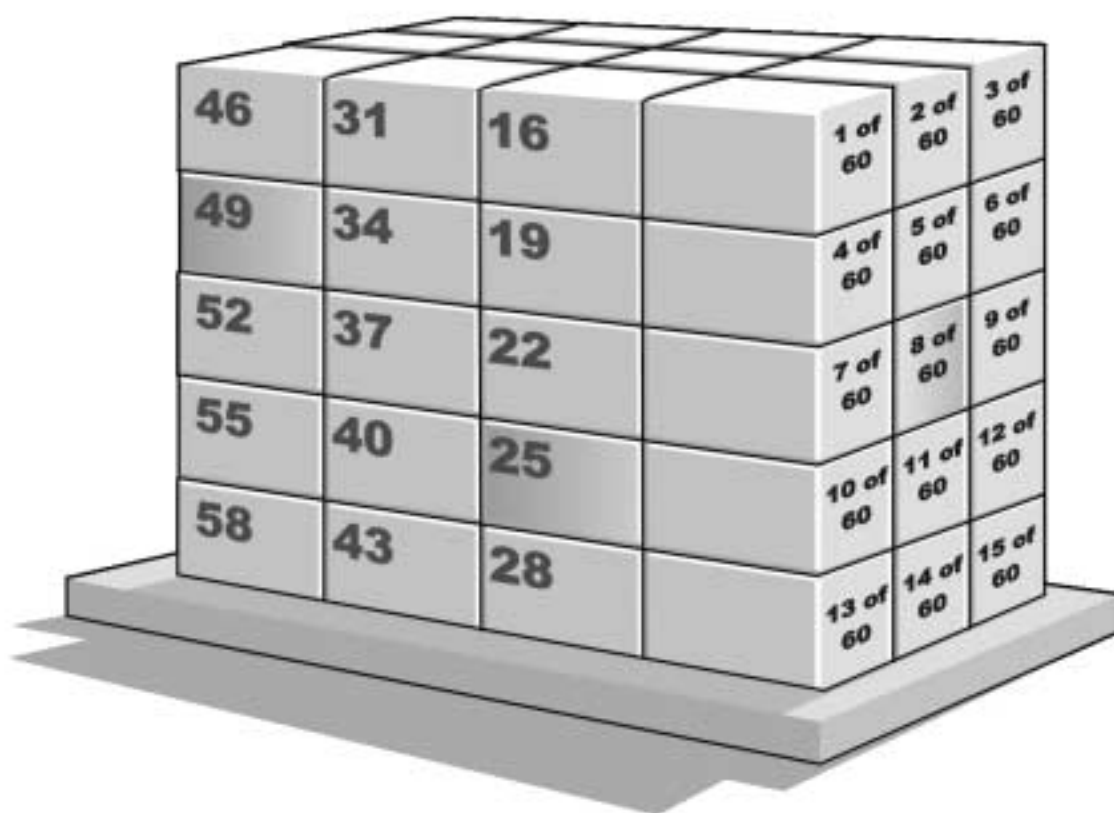
APPENDIX C TO ENCLOSURE G
LOADING SKIDS AND PALLETS

Note: Do not place classified boxes on the same skid as unclassified boxes.

Load skids in vertical rows (two boxes wide; four high) from back to front, with box 1 (or the lowest-numbered box) at a top/front position.



- In general, load pallets in the same manner as skids. When interlocking boxes, however, all cartons need not face forward.
- When the records are strapped or banded to pallets, use cardboard to protect box corners so that the boxes are not mutilated while in transit.



APPENDIX D TO ENCLOSURE G

JOINT STAFF FORM 48: "DISTRIBUTION AUTHORIZATION SHEET
FOR INACTIVE STORAGE FACILITY"

DISTRIBUTION AUTHORIZATION SHEET					620-02	
RECEIVED FROM J-5 MILSEC		AGENCY NO.	DATE 14 Oct 01	PRINT REQ. NO.	CONTROL NO.	
UNCLASSIFIED DOCUMENT 16 Sealed Federal Records Storage Boxes Accession Number 218-01-0017				CLASSIFICATION <input checked="" type="checkbox"/> TS <input type="checkbox"/> C <input type="checkbox"/> SIOP-ESI <input type="checkbox"/> S <input type="checkbox"/> U <input type="checkbox"/> OTHER		
DESIRED DISPATCH TIME <input type="checkbox"/> 0800 <input type="checkbox"/> 1300 <input type="checkbox"/> 1600 <input type="checkbox"/> 1000* <input type="checkbox"/> 1400* <input type="checkbox"/> 1100 <input checked="" type="checkbox"/> 1500 * OSD & MILITARY SVCS DISPATCH		<input type="checkbox"/> SPECIAL _____ SIGNATURE OF MILITARY SECRETARY ONLY (INDICATE IN COLUMN BELOW BY AN X MARK WHICH ADDRESSEES ARE SPECIAL)				
REMARKS					DISTRIBUTION CODE	
LINE NO.	HOLDER NUMBER	ADDRESSEE	NUMBER COPIES	COPY NUMBERS	SPEC DELI	
1	9999	44921-DC53 - WASH NATL REC CEN SUTLAND	218-01-0017	Box 1 thru 16		
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
16						
17						
18						
19						
20						
TOTALS	1	ADDRESSEES	16	COPIES	DISTRIBUTION AUTHORIZED William H. Jones, MSG TELEPHONE NO. 703 697-1234	
SPACE BELOW RESERVED FOR DISTRIBUTION USE ONLY						
RECEIPT IS ACKNOWLEDGED OF ABOVE LISTED			LOGGED IN BY _____		RECEIPT RAN _____	
DATE _____ SIGNATURE _____			DISTRIBUTED BY _____		MAIL BOX _____	

JS FORM 48, MAR 95 (EF)

PREVIOUS EDITIONS MAY BE USED

(INTENTIONALLY BLANK)

APPENDIX E TO ENCLOSURE G

OPTIONAL FORM 11:
"REFERENCE REQUEST - FEDERAL RECORDS CENTERS"

REFERENCE REQUEST - FEDERAL RECORDS CENTERS		NOTE: Use a separate form for each request.									
SECTION I - TO BE COMPLETED BY REQUESTING AGENCY											
ACCESSION NO.	AGENCY BOX NUMBER	RECORDS CENTER LOCATION NUMBER									
		OF									
DESCRIPTION OF RECORD(S) OR INFORMATION REQUESTED											
<input type="checkbox"/> BOX											
<input type="checkbox"/> FOLDER (include file number and title)											
REMARKS											
NATURE OF SERVICE <input type="checkbox"/> FURNISHED COPY OF RECORD(S) ONLY <input type="checkbox"/> PERMANENT WITHDRAWAL <input type="checkbox"/> TEMPORARY LOAN OF RECORD(S) <input type="checkbox"/> REVIEW <input type="checkbox"/> OTHER (Specify)											
SECTION II--FOR USE BY RECORDS CENTER											
<input type="checkbox"/> RECORDS NOT IN CENTER CUSTODY <input type="checkbox"/> RECORDS DESTROYED	REMARKS										
<input type="checkbox"/> WRONG ACCESSION NUMBER - PLEASE RECHECK	SAMPLE ONLY										
<input type="checkbox"/> WRONG BOX NUMBER - PLEASE RECHECK											
<input type="checkbox"/> WRONG CENTER LOCATION - PLEASE RECHECK											
<input type="checkbox"/> ADDITIONAL INFORMATION REQUIRED TO IDENTIFY RECORDS REQUESTED											
<input type="checkbox"/> MISSING (Whether records, information nor charge card found in container(s) specified)											
<input type="checkbox"/> RECORDS PREVIOUSLY CHARGED OUT TO (Name, agency and date):											
<table style="width: 100%; border: none;"> <tr> <td style="width: 25%; text-align: center; border: none;">DATE</td> <td style="width: 25%; text-align: center; border: none;">SERVICE</td> <td style="width: 25%; text-align: center; border: none;">TIME REQUIRED</td> <td style="width: 25%; text-align: center; border: none;">SEARCHER'S INITIALS</td> </tr> <tr> <td style="border: none;"> </td> <td style="border: none;"> </td> <td style="border: none;"> </td> <td style="border: none;"> </td> </tr> </table>				DATE	SERVICE	TIME REQUIRED	SEARCHER'S INITIALS				
DATE	SERVICE	TIME REQUIRED	SEARCHER'S INITIALS								
SECTION III--FOR USE BY RECORDS CENTER											
NAME OF REQUESTER	TELEPHONE NO. <input type="checkbox"/> FTS	DATE									
NAME AND ADDRESS OF AGENCY		RECEIPT OF RECORDS									
(Include street address, building, room no., and ZIP Code)		Requester please sign, date and return this form, for file item(s) listed above. ONLY if the block to right has been checked by the Records Center.									
		<input type="checkbox"/>									
(In Washington, D.C. area also include SDOI number)		SIGNATURE	DATE								
NSN 7540-00-682-6423		AGENCY SUSPENSE FILE COPY NATIONAL ARCHIVES AND RECORDS ADMINISTRATION <small>OPTIONAL FORM 11 (Rev. 7-87) 36 CFR 1229.162</small>									

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ENCLOSURE H

CONTRACTOR RECORDS

1. General. DOD has a continuing interest in ensuring that contractor records created as a result of government requirements are identified, maintained, preserved, and disposed of in accordance with the procedures outlined in this manual.

2. Purpose. This enclosure outlines the principal areas of focus in providing contractor records management.

3. Guidelines.

a. For Joint Staff/Headquarters Combatant Command Records Managers. Records created and stored by a contractor in support of Joint Staff/combatant command requirements are subject to the same records management mandated provisions as those created and stored by Joint Staff/combatant command personnel. Appropriate Joint Staff/combatant command personnel must provide contractor records management oversight, to include:

(1) Supplying the contractor with the requisite instructions for file identification, technical documentation, and disposition of records to be delivered to the Government.

(2) Ensuring compliance of contractor staff with all applicable recordkeeping disposition requirements in Volume II of this manual.

(3) Following the disposition procedures outlined in Volume II upon acceptance of contractor produced records.

b. For Contract Negotiators and Writers. Contractors performing governmental functions are required to create and maintain records to document the fulfillment of specified tasks; therefore, the contract must explicitly include requirements for delivery of all pertinent documentation of contractor program execution, to include:

(1) All related data required by the Federal Acquisition Regulation and DOD Federal Acquisition Regulation Supplement.

(2) Any background data used by the contractor in producing the final product that could have value to the Government. For example, contracts to produce reports that represent Joint Staff/combatant command policy may specify the delivery of background data needed to verify assertions or justify conclusions.

(3) Sufficient technical documentation to permit Joint Staff/combatant command personnel to use any electronic data and records delivered by the contractor.

(4) A deferred ordering and delivery data clause providing for acquisition of any data and records of value to the Joint Staff or combatant commands that may not have been identified in advance.

ENCLOSURE I

RECORDS MANAGEMENT TRAINING

1. General. A systematic, well-structured records management training program is fundamental to the proper establishment and execution of an active, effective records management program. Detailed training should be provided to personnel at all organizational levels who are directly concerned with the maintenance and disposition of agency records. General orientation to records management should be provided to all personnel within the organization who produce or temporarily store records.

2. Purpose. This enclosure outlines some areas to consider in ensuring personnel are properly trained to administer Federal records.

3. Guidelines for Joint Staff/Combatant Command Records Management Training Programs

a. Planning an Annual Program. To provide a baseline for establishing an annual training program, Joint Staff/Headquarters Combatant Command Records Managers must continually assess the status of records management awareness within their organization. Personal staff assistance visits are the best means of facilitating this assessment. Other means such as analysis of the retirement of organizational records and the turnover in personnel can be used as training need indicators. Subordinate records management personnel should also be solicited for their training requirements.

b. Developing the Curriculum. In developing the training program curriculum, the following records management competencies should be considered:

(1) Knowledge of the laws and regulations governing Federal records management and agency recordkeeping requirements; knowledge of agency records management policies and procedures in the context of the records life cycle; knowledge of the Joint Staff/Combatant Command Disposition Schedule.

(2) Knowledge of the Freedom of Information, Privacy Act, and other applicable laws governing access to agency records.

(3) Ability to interpret and apply the laws, regulations, policies, procedures, and schedules governing agency recordkeeping and access to agency records.

(4) Knowledge of automated recordkeeping systems and of records management principles relating to electronic records.

c. Monitoring the Program. Joint Staff/combatant command records management training programs should be monitored during execution throughout the year to ensure quality of delivery and currency of material, and to gather input to the assessment of records management awareness. The focus of the training program should encompass not just personnel directly responsible for records management, but all organizational personnel that produce or temporarily store records.

d. Promoting Records Management Awareness. Records management personnel should also avail themselves of opportunities to create records disposition awareness within their organizations. This may include such activities as regular participation in orientation sessions for newly assigned personnel, staff officer training classes, and Inspector General visits.

4. Professional Training Resources. Personnel with direct records management responsibilities should receive formal professional development in files management.

a. NARA-Sponsored Training. NARA has been tasked with overall responsibility for furnishing guidance and assistance for records management in the Federal Government. As part of this assistance, NARA sponsors a complete series of workshops that has as its three main preparing employees to carry out their records responsibilities, improving agency records programs, and insuring the proper management of all records and the timely transfer of permanent records to NARA. The current curriculum of offerings and costs can be obtained from the NARA website at <http://www.nara.gov/> or by requesting information from:

Agency Services Staff (NWRS) (Training)
National Archives at College Park
8601 Adelphi Road
College Park, MD 20740-6001

b. Other Resources. Whenever possible, Governmental sources should be used for training; at times, however, it may be appropriate and cost-effective to use non-Government educational institutions to satisfy particular training needs.

ENCLOSURE J

REFERENCES

a. CFR:

(1) Title 36 Chapter XII, "National Archives and Records Administration;" Subchapter B, "Records Management"

(2) Title 41, Section 101-45.10, "Recovery of Precious Metals"

b. USC, Title 44:

(1) Chapter 21, "National Archives and Records Administration"

(2) Chapter 29, "Records Management by the Archivist of the United States and by the Administrator of General Services"

(3) Chapter 31, "Records Management by the Federal Agencies"

(4) Chapter 33, "Disposal of Records"

c. NARA Bulletin No. 2002-02, 7 November 2001, "Introduction of Two Additional Electronic Records Transfer Methods"

d. EO 12656, 18 November 1988, "Assignment of Emergency Preparedness Responsibilities," as amended by EO 13074, 9 February 1998, and EO 13228, 8 October 2001

e. DODD 5015.2, 6 March 2000, "Records Management Program"

f. DODD 5100.3, 15 November 1999, "Support of the Headquarters of Combatant and Subordinate Joint Commands"

g. DODD 5105.21, 18 February 1997, "Defense Intelligence Agency (DIA)"

h. DODD 8910.1, 11 June 1993, "Management and Control of Information Requirements"

i. DODR 5200.1-R, January 1997, "Information Security Program"

j. DODR 5400.11-R, August 1983, "Department of Defense Privacy Program"

k. DOD 5015.2-STD, June 2002, "Design Criteria Standard for Electronic Records Management Software Applications"

- l. NARA General Records Schedules, Transmittal Numbers 7 and 8, August 1995 and December 1998
- m. Federal Rules of Evidence, 2001, Article VIII, "Hearsay"
- n. USSAN Instruction 1-69 (Enclosure 2 to DODD 5100.55), 21 April 1992, "United States Implementation of NATO Security Procedures"
- o. CJCSI 3141.01 Series, "Responsibilities for the Management and Review of Operation Plans"
- p. CJCSI 5714.04 Series, "Release Procedures for Joint Staff and Joint Papers and Information"
- q. CJCSI 5760.01 Series, "Records Management Policy for the Joint Staff and Combatant Commands"
- r. CJCSM 3410.01 Series, "Chairman of the Joint Chiefs of Staff Continuity of Operations Plan"
- s. JSI 3430.01 Series, "Data Information and Coordination Office"
- t. JSI 5210.01 Series, "Automated Information System Security Program"
- u. JSM 5240.01B Series, "Joint Staff Personnel Security Program"
- v. JSI 5300.01 Series, "Distribution, Printing, Graphic, Photographic, Parking, and Publication Support Available to the Joint Staff"
- w. JSI 5610.01 Series, "Joint Staff Supply Management Program"
- x. JSI 5730.01 Series, "Joint Staff Forms Management Program"
- y. JSI 8000.01 Series, "Joint Staff Information Resource Management Program"
- z. JSM 5100.01 Series, "Organization and Functions of the Joint Staff"
- aa. JSM 5220.01 Series, "Joint Staff Information Security Program"
- bb. JSM 5220.03 Series, "Procedures for Processing and Protecting NATO Classified Material"

GLOSSARY

PART I--ABBREVIATIONS AND ACRONYMS

Note: For a list of abbreviations for disposition instructions, see Annex A to Appendix B to Enclosure F. For a list of nontextual codes used in block 6.(f) of SF 135/135A, "Records Transmittal and Receipt," see Annex B to Appendix A to Enclosure G.

A

ADP	Automated Data Processing
AIS	(DOD) Automated Information Systems
ANSI	American National Standards Institute
AO	Action Officer
ASCII	American Standard Code for Information Interchange
ATOMAL	NATO Restricted Data or Formerly Restricted Data (Atomic Information)

B

bpi	Bits per Inch
bps	Bits per Second

C

CABS	Comptroller Automated Budget System
CAD	Computer Aided Design
CAE	Computer Aided Engineering
CAL	Computer Assisted Locator System
CAM	Computer Aided Manufacturing
CAR	Computer Assisted Retrieval System
CD	Compact Disk
CD-I	Compact Disk-Interactive
CD-ROM	Compact Disk-Read Only Memory
CD-RW	Compact Disk-Read/Write
CFR	Code of Federal Regulations
CG	Chairman's (Joint Chiefs of Staff) Guidance
CH	Change
CINC	Commander in Chief (President of the United States; Formerly used to refer to the combatant commanders)
CJCS	Chairman, Joint Chiefs of Staff (adjective only)
CJCS MOP	CJCS Memorandum of Policy

CJCSG	CJCS Guide
CJCSI	CJCS Instruction
CJCSM	CJCS Manual
CJCSN	CJCS Notice
CM	CJCS Memorandum
CMCM	Commandant of the Marine Corps Memorandum
CNASP	Chairman's Net Assessment for Strategic Planning (Discontinued)
CNO	Chief of Naval Operations
CNOF	CNO Flimsy
CNOM	CNO Memorandum
CNWDI	Critical Nuclear Weapons Design Information
COM	Computer Output Microform
COOP	Continuity of Operations
COSMIC	NATO Security Classification Marking For Top Secret
COTS	Commercial off the Shelf
CPA	Chairman's (Joint Chiefs of Staff) Program Assessment
cpi	Characters per Inch
cpmm	Characters per Millimeter
CPU	Central Processing Unit
CSA	Chief of Staff, U.S. Army
CSAF	Chief of Staff, U.S. Air Force
CSAFM	CSAF Memorandum
CSAM	CSA Memorandum
CY	Calendar Year

D

DBMS	Data Base Management System
DCS	Defense Courier Service
DepOpsDep	Deputy Operations Deputy
DIA	Defense Intelligence Agency
DIRM	Director, Information Resource Management
DISA	Defense Information Systems Agency
DJS	Director, Joint Staff (adjective only)
DJSM	DJS Memorandum
DOD	Department of Defense
DOD STD	DOD Standard
DODD	DOD Directive
DODI	DOD Instruction
DODR	DOD Regulation
DOS	Disk Operating System
DPG	Defense Planning Guidance
DVD	Digital Video Disk

E

EBCDIC	Extended Binary-Coded Decimal Interchange Code
EDI	Electronic Data Interchange
EDP	Electronic Data Processing
EO	Executive Order
ERM	Electronic Records Management

F

FIPS	Federal Information Processing Standards
FIPS PUBS	FIPS Publications
FIRMR	Federal Information Resources Management Regulations
FOIA	Freedom of Information Act
FOUO	For Official Use Only
FPMR	Federal Property Management Records
FRC	Federal Records Center
FRD	Formerly Restricted Data
FY	Fiscal Year
FYDP	Future Years Defense Program

G

GAO	Government Accounting Office
GRS	General Records Schedule
GSA	General Services Administration

I

IBM	International Business Machines
IC	Intelligence Community
IG	Inspector General
IMD	Information Management Division (Joint Staff)
IRM	Information Resources Management
ISF	Inactive Storage Facility
ISO	International Organization for Standardization
IT	Information Technology

J

JAI	Joint Administrative Instruction
JCCN	Joint Command and Control Network
JCS	Joint Chiefs of Staff (adjective only)
JNSM	Joint National Security Memorandum (Discontinued)
JOPEs	Joint Operation Planning and Execution System

JOPS	Joint Operation Planning System (Discontinued)
JP	Joint Publication (See also "JT PUB")
JS	Joint Staff (adjective only)
JS ERM	JS Electronic Records Manager
JSCP	Joint Strategic Capabilities Plan
JSI	JS Instruction
JSM	JS Manual
JSN	JS Notice
JSPS	Joint Strategic Planning System
JSR	Joint Strategy Review
JT ADMIN PUB	Joint Administrative Publication
JT PUB	Joint Publication (See also "JP")
JTF	Joint Task Force

L

LAN	Local Area Network
-----	--------------------

M

MAAG	Headquarters, Military Advisory and Assistance Group
MCJCS	Memorandum Issued in the Name of the Chairman, Joint Chiefs of Staff (Discontinued 1989)
MCM	Memorandum in the Name of the Chairman, Joint Chiefs of Staff
MFR	Memorandum For Record
MIA	Missing In Action
MIS	Management Information System
MJCS	Memorandum Issued In the Name of the Joint Chiefs of Staff
MOP	Memorandum of Policy (Discontinued)

N

NA	National Archives (Form)
NAC	National Audiovisual Center
NARA	National Archives and Records Administration
NATO	North Atlantic Treaty Organization
NATO COSMIC	NATO Security Classification Marking For Top Secret
NCA	National Command Authorities (Discontinued)
NIST	National Institute of Standards and Technology (Department of Commerce)
NMCC	National Military Command Center
NMS	National Military Strategy
NSC	National Security Council
NSD	National Security Directive

NSDD	National Security Decision Directive
NSR	National Security Review
NSS	National Security Strategy
NSSD	National Security Study Directive
NTIS	National Technical Information Service

O

OCJCS	Office of the Chairman, Joint Chiefs of Staff.
OCR	Optical Character Recognition
ODJS	Office of the Director, Joint Staff.
OF	Optional Form
OMB	Office of Management and Budget
OPLANS	Operations Plans
OPR	Office of Primary Responsibility
OpsDep	Operations Deputy
OS	Operating System
OSD	Office of the Secretary of Defense
OSJS	Office of the Secretary, Joint Staff

P

PA	Privacy Act
POM	Program Objective Memorandum
PPBES	Planning, Programming, Budgeting, and Execution System (Discontinued)
PPBS	Planning, Programming, and Budgeting System
PW	Prisoner of War

R

R&R	Relocation and Reconstitution
RD	Restricted Data
RMA	Records Management Application
RMAS Br	Records Management and Automation Support Branch (IMD, Joint Staff)

S

SBI	Security Background Investigation
SCI	Sensitive Compartmented Information
SDTS	Special Data Transfer Standards
SecDef	Secretary of Defense (adjective only)
SF	Standard Form
SIOP	Single Integrated Operational Plan

SJS	Secretary, Joint Staff (adjective only)
SM	Secretary's (SJS) Memorandum
SOC	Special Operations Command
SOP	Standard Operating Procedure
SPECAT	Special Category
SPINTCOMM	Special Intelligence Communication Handling System

T

TDY	Temporary Duty
TIAS	Treaties and Other International Acts Series
TOC	Tactical Operation Center
TOR	Terms of Reference

U

UCP	Unified Command Plan
USC	United States Code

V

VCJCS	Vice Chairman, Joint Chiefs of Staff (adjective only)
VDJS	Vice Director, Joint Staff (adjective only)

W

WAN	Wide Area Network
WHS	Washington Headquarters Services
WNRC	Washington National Records Center
WORM	Write Once Read Many
WP	Word Processing

GLOSSARY

PART II--DEFINITIONS

-A-

access – (1) The availability of, or the permission to consult, records. (2) The ability or opportunity to obtain security classified or administratively controlled information or records.

accession – (1) The transfer of the legal and physical custody of permanent records from an agency to the National Archives. (2) The transfer of agency records to an FRC for temporary storage. The agency retains legal custody of the records. (3) The records so transferred. Also called accessioned records.

accountable officers' accounts – Specified records accumulated by collecting, disbursing, and certifying officers and required by the GAO for audit purposes. Also known as site audit records.

accretion – Records adding to or extending a series or system of permanent records previously accessioned by the National Archives.

action copy – The copy of a document sent to the agency, office, or individual responsible for taking action.

action directive – A directive issued by a directorate or office assigning an action internally. It names the responsible AOs and requests the external coordination and collaboration desired.

action officer (AO) – The person assigned responsibility for preparing, collaborating on, or coordinating a response to an action requirement.

active records – See "current records."

adequacy of documentation – A standard of sufficiently and properly recording actions and/or decisions.

adequate and proper documentation – A record of the conduct of U.S. Government business that is complete and accurate to the extent required to document the organization, functions, policies, decisions, procedures, and essential transactions of the agency and that is designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities.

administrative records – Records relating to budget, personnel, supply, and similar housekeeping, or facilitative, functions common to most agencies, in contrast to program records.

administrative value – The usefulness of records in conducting an agency's current business. Includes fiscal value and legal value, which are usually analyzed separately when records are evaluated for disposition.

administratively controlled information – Privileged or other nonsecurity-classified information in records sometimes bearing designations, such as "FOUO," to prevent its unauthorized disclosure.

aerial photographs – Photographs of the earth, other planetary bodies, or the atmosphere that have been taken from airborne vehicles to evaluate, measure, or map selected features of the landscape or the sky. Also involve related indexes.

agency records – Documentary materials of an executive agency that, based on Federal case law, are subject to the FOIA.

agenda item – A subject on the agenda of the DepOpsDepts, OpsDepts, Joint Chiefs of Staff, and/or combatant commanders for formal consideration. Normally, it is a draft JS action but may be in the form of a CM, DJSM, or JS Position Paper. It may also include discussions with various dignitaries such as an ambassador, Assistant Secretary of Defense, or combatant commander.

alienation – Unlawfully transferring records or losing custody of them to an unauthorized organization or person.

alphabetic-subject filing system – A classification system in which subjects are arranged in alphabetical order regardless of their relationship to one another. For example, the subjects "adobe houses" and "adrenaline" would immediately follow "administration."

alphanumeric filing system – A classification system in which letters are assigned to main divisions and numbers to subdivisions. For example, "P5" might stand for "Personnel-Employment."

American National Standards Institute (ANSI) – A U.S. standards organization composed of representatives from industry, technical societies, consumer organizations, and government agencies.

American Standard Code for Information Interchange (ASCII) – A binary code representing each letter, number, or other symbol with a unique 7-bit code.

application – A specific use of computer, micrographic, or other information technology, such as in payroll or inventory control.

appraisal – The process of determining the value and thus the final disposition of records, making them either temporary or permanent.

architectural and engineering records – Drawings and related records depicting the concepts and precise measurements needed to plan and build static structures such as buildings, bridges, and canals as well as those needed to complete other public works projects and produce such objects as weapons and machines. Include design, construction drawings, and related records; include CAD, CAM, and CAE system records that relate to architecture and engineering and must be managed like other electronic records.

archival quality – The ability of material, such as processed prints or film, to resist deterioration sufficiently to meet standards for permanent records.

archival standards – The standards to be met by a type of recording material or process in order for this material to have and retain specified characteristics necessary for permanent records.

archival storage conditions – Conditions suitable for preserving permanent records.

archival value – The determination by appraisal that records are worthy of permanent preservation by an archival agency.

archive – (1) The non-current records of an agency or institution preserved because of their permanent value. (2) The agency responsible for selecting, preserving, and making available archival materials.

archives – (1) The noncurrent records of an organization preserved because of their continuing, or enduring, value. "National Archives of the United States" means those records that have been determined by the Archivist of the United States to have sufficient historical or other value to warrant their continued preservation by the Federal Government and that have been transferred to the Archivist's legal custody. (2) The organization or agency responsible for appraising, accessioning, preserving, and making available permanent records. Also called archival agency. In the U.S. Government, NARA. (3) One or more buildings, or portions thereof, where permanent records are located after being accessioned by an archival agency. Also called archival depository or archival repository.

archives administration – The management or direction of the program of an archival agency, including the following basic functions: appraisal,

accessioning, preservation, arrangement, description, reference service, and such public programs as education, exhibits, and publications.

archiving – In electronic records, the process of creating a backup copy of computer files, especially for long-term storage.

archivist – A person responsible for or engaged in one or more of the functions listed under archives administration.

arrangement – The process and results of organizing archives, records, and manuscripts in accordance with accepted archival principles.

audiovisual records – Records in pictorial or aural form. Include still and motion pictures, graphic materials such as posters and original art, audio and video recordings, and combinations of media such as slide-tape productions.

automated data processing (ADP) – Systematic performance of a series of actions with data by using automatic machines, primarily electronic digital computers. Also called automatic data processing. Often used as a synonym for EDP.

automated information system (AIS) – An information system that usually involves the use of a computer. Often used as a synonym for an electronic records system.

-B-

backchannel – Messages processed through DIA's SPINTCOMM network facility.

backing up – Making a copy of a computer file for use if the original is lost, damaged, or destroyed. Sometimes called archiving.

bar code – A series of rectangular marks and spaces in a planned pattern. Used in records management to encode indexing information.

bit – In computer technology, a single, basic unit of information.

block – (1) One or more chronological segments of cut off, or closed, records that are in the same series and are dealt with as a unit for disposition purposes, especially during the transfer of permanent records to the National Archives. For example, a transfer of records in 5-year blocks. (2) In electronic records, a grouping of data stored as a unit on an external storage medium and dealt with as a unit by the computer for input or output. (3) The records of an agency, organizational component, or functional area.

Blue Bullet – Discontinued October 1989. The JS Action Directive on blue paper that formally assigned an action to and within a directorate or office and requested the Services and coordinating directorates and agencies provide their AO's names and telephone numbers to the primary AO. If no Service coordination was needed, the directive was prepared on yellow paper and known as a Yellow Bullet.

byte – In computer technology, a unit of information for processing in certain kinds of electronic computers, equal to one character or eight bits.

-C-

cartographic records – Graphic representations drawn to scale of selected features of the earth's surface and atmosphere and of other planets and planetary satellites. Include maps, charts (hydrographic/nautical, weather, and aeronautical), photomaps, orthophotomaps, atlases, cartograms, globes, relief models, and related records such as field survey notes, map history case files, and finding aids. Also include digital cartographic records, such as geographic information system records, which are managed like other electronic records.

case files – Records, regardless of media, documenting a specific action, event, person, place, project, or other matter. Include personnel, project, and transaction files, which are types of case files.

case working files – Background or support files, such as worksheets, questionnaires, rough notes, calculations, or drafts, used to prepare or analyze case file documents. Often bulky when in paper form.

central files – Files accumulated by several offices or organizational units and maintained and supervised in one location. Also called centralized files.

central processing unit (CPU) – The component of a computer system that interprets and carries out program instructions.

Chairman's Guidance (CG) – Provides guidance to the Joint Staff and information to the Secretary of Defense, combatant commanders, and other members of the Joint Chiefs of Staff regarding the framework for building the NMS. The CG serves as a bridge between the initial assessments and conclusions reached during the JSR and the specific process that builds the NMS document.

Chairman's Memorandum (CM) – Issued by the Chairman, Joint Chiefs of Staff, in carrying out his responsibilities. The Vice Chairman may also sign CMs.

Chairman's Net Assessment for Strategic Planning (CNASP) – Formerly a JSPS document; still exists as an internal J-8 document.

Chairman's Program Assessment (CPA) – Provides the Chairman's assessment of the composite POM force recommendations to assist the Secretary of Defense in decisions on the defense program subsequent to receipt of the POMs. The CPA presents the views of the Chairman on the balance and capabilities of the overall POM force and support levels necessary to attain U.S. national security objectives.

change – An administrative notice to the recipients of a numbered joint action that may supersede, withdraw, cancel, or require return of the paper; announce completion of the action; or provide additional information relative to the action. Also, formal, approved changes to a joint action are sent by a change memorandum. The page or pages on which changes are made are reprinted and forwarded by a covering memorandum to the holders of the basic paper. Changed portions are identified by a vertical black line in the left margin of the page opposite the line changed.

character – In computer technology: (1) Any symbol, as a number or letter that represents information and, when encoded, is usable by a machine. (2) A pattern of ones and zeros representing the relationship of positive and negative pulses in a computer.

charge-out – The act and result of recording the removal and loan of a document or file to indicate its location. Usually involves the use of a form placed in the location from which the document or file was removed that identifies the record (number, title or subject, and date), the person and office charged to, and the date withdrawn.

CJCS Instruction (CJCSI) – Policy and guidance issued by the Chairman, Joint Chiefs of Staff, that do not involve the employment of forces. CJCSIs are of indefinite duration and applicable to external agencies or both the Joint Staff and external agencies. They remain in effect until superseded, rescinded, or otherwise canceled. Signature level depends on the subject matter in accordance with current practices. Most items are signed under the CJCS command line by the Director, Joint Staff; significant policy matters are signed by the Chairman, Joint Chiefs of Staff. Routine administrative matters are signed under the CJCS command line by the Secretary, Joint Staff.

CJCS Manual (CJCSM) – Detailed procedures for performing specific tasks that do not involve the employment of forces. CJCSMs are of indefinite duration and applicable to external agencies or both the Joint Staff and external agencies. They remain in effect until superseded, rescinded, or otherwise canceled. Signature level depends on the subject matter in accordance with

current practices. Most items are signed under the CJCS command line by the Director, Joint Staff; significant procedural matters are signed by the Chairman, Joint Chiefs of Staff. Routine administrative matters are signed under the CJCS command line by the Secretary, Joint Staff.

CJCS Memorandum of Policy (MOP) – Formerly used to issue statements of policy in the name of the Chairman, Joint Chiefs of Staff, to the Services, combatant commands, Joint Staff, and defense agencies on matters involving strategic planning; contingency planning; military requirements; programs and budgets; manpower; joint doctrine, training, and education; and on procedures supporting fulfillment of the other statutory and directed responsibilities of the Chairman. Superseded by CJCSIs, CJCSMs, and CJCSNs.

CJCS MOP 7 documents – Formerly used to prescribe JSPS documents. Current prescribing document is CJCSI series 3100.01. See “Joint Strategic Planning System.”

CJCS Notice (CJCSN) – CJCS policy, guidance, and information of a one-time or brief nature applicable to external agencies or both the Joint Staff and external agencies. CJCSNs customarily have a self-canceling provision and will not remain in effect for longer than 1 year.

CJCS Sends – The sending authority entered on implementing messages that are issued in the name of the Chairman, Joint Chiefs of Staff, and released under the authority delegated in CJCSI series 5711 (formerly CJCS MOP 9 and JCS MOP 197).

classification – (1) The process of determining the sequence or order in which to arrange documents. (2) The process or result of identifying records containing national security information.

classified information – Records or information requiring, for national security reasons, safeguards against unauthorized disclosure.

closed file – (1) A file unit or series containing documents on which action has been completed and to which more documents are not likely to be added. (2) A file unit or series to which access is limited or denied

CNO Flimsy (CNOF) – Discontinued. Formerly used to refer to a written proposal by the Navy recommending one or more changes to an action being considered by the Joint Staff when lack of time made it impossible to prepare a Chief of Naval Operations Memorandum (Slant).

CNO Memorandum (CNOM) – Used by the CNO to present problems, information, comments, and recommendations to the Joint Staff. When used to propose changes to a JS action, the CNOM is sometimes called a "Slant."

code – (1) See "file codes." (2) In electronic records, a set of rules to convert data to a form that computers can process, such as ASCII and EBCDIC. Also called a computer code. (3) A computer program. (4) A systematically arranged collection of laws or regulations, such as the USC or CFR.

codebook – In electronic records, a guidebook identifying and explaining the codes used in a computer file or data base.

coding – (1) The process of putting abbreviated file designations on documents. (2) The process of converting data to a form that a computer can process.

combatant command corporate records – See "records." All materials meeting the definition of "records" that are made or received by, or signed by or for, the top leadership of the command. The definition of "top leadership" may vary from command to command, but will usually consist of the Combatant Commander, Deputy Combatant Commander, and Chief of Staff/Director of Staff/Joint Secretary or equivalent position.

comeback – The copy of a dispatched memorandum or message that is returned to its originator. The AO should compare the comeback copy with the original and immediately notify his branch and/or division chief of significant changes.

Commandant of the Marine Corps Memorandum (CMCM) – Used by the Commandant to present problems, information, comments, and recommendations to the Joint Staff.

compact disk (CD) – A relatively small optical disk on which text, data, sounds, visual images, and the like can be recorded digitally and then scanned, decoded, and transmitted by a laser beam to a computer monitor, television set, or playback device.

compact disk-interactive (CD-I) – A CD combining audiovisual, text/data, software storage, and retrieval capabilities.

comprehensive records schedule – A schedule or collection of schedules based on NARA-approved disposition authorities and issued as a directive or manual to cover all the records of an independent agency or department, or those of a bureau, service, or office within a department. Also includes instructions for nonrecord materials, whose disposition is based on agency needs.

computer – An electronic device designed to accept data (input), perform prescribed mathematical and logical operations at high speed processing, and supply the results of these operations (output). A digital computer processes data as numbers and includes mainframe computers, minicomputers, and microcomputers. In contrast, an analog computer represents data by measurable quantities, such as voltages.

computer architecture – The organizational structure of a computer system, including hardware and software.

computer assisted locator (CAL) – A computer system that keeps track of documents as they circulate through an agency.

computer assisted retrieval (CAR) – A records storage and retrieval system, normally microfilm-based, that uses a computer for indexing; automatic markings, such as blips or bar codes, for identification; automatic devices for reading those markings; and, in some applications, automatic devices for transporting the film for viewing.

computer program – (1) A systematic plan for the automatic solution of a problem by a computer. (2) A sequence of instructions enabling a computer to solve a problem.

computer security – The protection of the information and physical assets of a computer system.

computer system – A configuration or working combination of hardware, software, and data communication devices.

contingent records – Records scheduled for final disposition at some unspecified future time after the occurrence of a particular event, such as the decommissioning of a vessel, the sale of property, or the destruction of a building.

continuing value – The lasting value of records, especially permanent records.

continuity reference form – A form used to replace a record that has been moved to another location in the file. Often indicates that correspondence has been brought forward from a cut off subject file for attachment to correspondence in the current year's file.

contractor records – Also called contractor data. Data produced and/or maintained by a contractor for a Federal agency and required to provide adequate and proper documentation of that agency's programs and to manage them effectively.

convenience files – Nonrecord copies of correspondence, completed forms, and other documents kept solely for ease of access and reference.

copy – (1) A reproduction of the contents of an original document prepared simultaneously or separately and usually identified by function or method of creation. Copies identified by function include action copy, information or reference copy, official file copy, reading or chronological file copy, suspense or tickler file copy, and stock copy. Copies identified by method of creation include carbon copy, electrostatic copy, mimeograph copy, and ribbon copy. (2) In electronic records, the action or result of reading data from a source, leaving the source data unchanged, and writing the same data elsewhere on a medium that may differ from the source.

corporate papers – See “Joint Staff corporate records” and “combatant command corporate records.”

corporate records – See “Joint Staff corporate records” and combatant command corporate records.”

correspondence – Letters, postcards, memorandums, telecommunications, notes, and any other form of addressed, written communications that are sent and received.

corrigendum – See "change."

cross-reference – In files management, a finding aid directing a user from one place in a file to another when a particular document must be retrievable under more than one filing feature.

CSA Memorandum (CSAM) – Used by the CSA to present problems, information, comments, and recommendations to the Joint Staff.

CSAF Memorandum (CSAFM) – Used by the CSAF to present problems, information, comments, and recommendations to the Joint Staff.

current records – Records necessary to conduct the current business of an office and therefore generally maintained in office space and equipment.

custody – Guardianship or control of records, including both physical possession (physical custody) and legal responsibility (legal custody), unless one or the other is specified.

cut off – Breaking, or ending, files at regular intervals, usually at the close of a FY or CY, to permit their disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files. Case files are

generally cut off at the end of the year in which the case is closed. Cut off is some times abbreviated as COFF and is also called file cut off or file break.

-D-

D Sheet – See “JS Form 48.”

data – Symbols or representations of facts or ideas that can be communicated, interpreted, or processed by manual or automated means. Often associated with electronic data or with statistics or measurements.

data administration – The comprehensive management of an organization's data. Includes ensuring consistent definitions of data elements and coordinating the development of data dictionaries.

data base – In electronic records, a set of data consisting of at least one file or of a group of integrated files usually stored in one location and made available to several users at the same time for various applications.

data base management system (DBMS) – A software system used to access and retrieve data stored in a data base.

data dictionary – An organized collection of information about the definition, structure, and use of data in an organization.

data element – In electronic records, a combination of characters or bytes referring to one separate item of information, such as name, address, or age.

data field – A specific area of an electronic record allocated for a particular category of data, usually one data element, such as a name.

data file – In electronic records: (1) An organized collection of data, usually arranged in logical records stored together and treated as a unit by a computer. (2) Related numeric, textual, or graphic information organized in a strictly prescribed form and format. Used in contrast to text documents that may be recorded on electronic media.

data set – A group of related records that are organized and treated as a unit. Also used interchangeably with data file.

Decision Notice – Discontinued October 1989. The decision of a JS action that was considered by the DepOpsDepts, OpsDepts, or Joint Chiefs of Staff and distributed by the Secretary, Joint Staff, to all holders of the action indicating when and how the action was approved and implemented, and if appropriate, describing pertinent related aspects of the decision.

declassification – The process or result of determining that information no longer requires classification for national security reasons.

deleting – The process of permanently removing, erasing, or obliterating recorded information from a medium, especially a magnetic tape or disk, which then may be reused. In electronic records, sometimes called scratching or erasing.

density – (1) In electronic records, the compactness of data stored on a computer medium, such as a disk or tape, or displayed on a computer screen. (2) In microform records, the light-absorbing or light reflecting quality of microimages.

depository – A place where records are kept and made available for use. Also called repository.

Deputy Operations Deputies (DepOpsDepts) – The DepOpsDepts consist of the Vice Director, Joint Staff, and two-star General or flag officers from the Services. They are the designated representatives of the Joint Chiefs of Staff.

description – (1) In records management, the process of giving a written account of the contents and characteristics of a record series or system. (2) In archives administration, the process of preparing finding aids.

destruction – In records management, the major type of disposal action. Methods include selling or salvaging the record medium and burning, pulping, shredding, macerating, or discarding with other waste materials.

digital – Representation of data as discrete variables in the form of numerical characters, as in a digital clock or digital computer.

directive – A written instruction communicating policy and/or procedure in the form of orders, regulations, bulletins, circulars, handbooks, manuals, notices, numbered memorandums, and similar issuance's.

disclosure free extract – A copy of a record that excludes all exempted information; that is, information deleted or otherwise concealed under provisions of the FOIA or PA. Also called a public use file.

disposable records – See "temporary records."

disposal – Physical destruction of records; not synonymous with disposition. The actions taken regarding temporary records after their retention periods expire and consisting usually of destruction or occasionally of donation. Also,

when so specified, the actions taken regarding nonrecord materials when no longer needed, especially their destruction.

disposal authority – The legal authorization for the disposal of records obtained from the Archivist of the United States and, for certain series, from the Comptroller General.

disposal list – A document providing one-time approval for the disposal of records no longer accumulating and having no further value. Now incorporated into the SF 115.

disposing of – Carrying out disposal, which includes either the destruction or the donation of temporary records but not the transfer of permanent records to the National Archives.

disposition – The third stage of the records life cycle. (1) The actions taken regarding records no longer needed for current Government business, including transfer to agency storage facilities or FRC, transfer from one Federal agency to another, transfer of permanent records to the National Archives, and disposal of temporary records. (2) The actions taken regarding nonrecord materials when no longer needed, including screening and destruction.

disposition authority – (1) Legal approval empowering an agency to transfer permanent records to the National Archives or carry out the disposal of temporary records. Must be obtained from NARA and also, for certain records proposed as temporary, from the GAO. (2) The agency's approval of disposition instructions for nonrecord materials.

disposition instructions – (1) Directions for cutting off records and carrying out their disposition in compliance with NARA's regulations. (2) Directions for screening nonrecord materials and carrying out their disposal when no longer needed by the agency.

disposition program – Policies and practices designed to achieve effective and efficient disposition of records by scheduling them, ensuring their proper storage, and ensuring the prompt disposal of temporary records and the timely transfer of permanent records to the National Archives. Essential elements include issuing an up-to-date program directive; developing, implementing, and maintaining an accurate, current, and comprehensive records schedule; properly training those taking part in disposition activities; publicizing the program; and evaluating the results.

disposition schedule – The document governing, on a continuing basis, the mandatory disposition of recurring records series of an organization. Also known as a records schedule or retention schedule.

disposition standard – The time period for files cut off, transfer to a records center, destruction, or transfer to NARA.

document – (1) Recorded information regardless of physical form or characteristics. Often used interchangeably with record. (2) An individual record or an item of nonrecord materials or of personal papers.

documentary – In audiovisual records: (1) A nonfiction motion picture film having a theme or viewpoint but drawing its material from actual events and using editing and sound to enhance the theme. (2) Still photographs having a theme or viewpoint but showing actual situations realistically.

documentary materials – A collective term for records, nonrecord materials, and personal papers that refers to all media on which information is recorded regardless of the nature, medium, method, or circumstances of recording.

documentation – (1) The act or process of substantiating by recording actions and/or decisions. (2) Records required to plan, develop, operate, maintain, and use electronic records. Included are systems specifications, file specifications, codebooks, file layouts, user guides, and output specifications.

donation – (1) In records management, the transfer of temporary records from a Federal agency to an eligible person or organization after the authorized retention period has expired. Requires NARA's approval. (2) In archives administration, the transfer from private sources to the National Archives of documents, including audiovisual materials, appropriate for preservation by the Government as evidence of its organization, functions, policies, decisions, procedures, and transactions.

dumping – In electronic records, the process of : (1) Copying recorded information from internal memory to an external storage medium, such as a magnetic tape or a printout, for backup, analysis, or some other purpose. (2) Transferring recorded information from one storage device to another, such as from a disk to a tape.

duplicate – A copy of a paper document, microform, magnetic tape, or disk.

-E-

electronic data interchange (EDI) – The communication or transmission of data as electronic messages according to established rules and formats in order to transact business.

electronic mail – The process or result of sending and receiving messages in electronic form via remote computer terminals. Also called E-mail.

electronic recordkeeping – The creation, maintenance and use, and disposition of records created and stored by using a computer.

electronic records – Records stored in a form that only a computer can process. Also called machine-readable records or ADP records.

electronic records system – Any information system that produces, processes, or stores records by using a computer. Often called an automated information system.

E-mail – See “electronic mail.”

emergency destruction – As provided by law or regulation, the elimination of records under abnormal circumstances that involve a state of war or impending hostilities and also a continuing menace to life, health, or property.

emergency operating records – Vital records essential to the continued functioning or reconstitution of an organization during and after an emergency.

evaluation – (1) In records disposition, the process of assessing the value of records to recommend or determine their retention periods, making the records either temporary or permanent. See also “appraisal.” (2) The inspection, audit, or review of records management programs, either by the agency or by NARA and/or GSA, to ensure compliance with applicable laws and regulations.

evidential value – The usefulness of records in documenting the organization, functions, and activities of the agency creating or receiving them. Considered by NARA in appraising records for permanent retention.

executive agency – Any executive department or independent establishment in the executive branch of the U.S. Government, including any wholly owned Government corporation.

-F-

facsimile – (1) An exact copy of a document, drawing, photograph, or the like. (2) A method or device for transmitting such a copy via telephone or radio for reproduction elsewhere.

federal agency – Any executive agency or any establishment in the legislative or judicial branch of the U.S. Government, excepting the Supreme Court, Senate,

House of Representatives, and the Architect of the Capitol and any activities under the Architect's direction.

Federal Information Processing Standards (FIPS) – U.S. Government standards for computer hardware, software, and systems. Issued by NIST.

Federal Records Center (FRC) – A records center operated by NARA.

file – (1) Usually an accumulation of records or nonrecord materials arranged according to a plan. Sometimes an accumulation of personal papers so arranged. (2) A unit (such as a folder, microform, or electronic medium) containing such records, nonrecord materials, or personal papers. (3) Storage equipment, such as a filing cabinet.

file codes – Numbers or symbols used to abbreviate lengthy file titles.

file designation – A distinguishing symbol, subject, name, number, or date controlling the placement of a document in a filing system.

file layout – In electronic records, the arrangement and structure of data in a file including the sequence and size of its components.

file plan – A plan designating the physical location(s) where an agency's files will be maintained, the specific types of files, and the organizational element(s) having custodial responsibility. (2) A document containing the identifying number, title or description, and disposition authority of files held in an office.

file station – Any location in an organization at which records are maintained for current use.

file types – Categories or classes of files. Include case, case working, general correspondence, transitory correspondence, convenience, reading, and technical reference files, as well as vital records and special records. Each of these types is defined in this glossary.

files custodian – The individual responsible for physical custody, maintenance, and disposition of records accumulated in the performance of a particular function. The directorate/ separate office/activity records officer designates the files custodian in designating the directorate “office of record.” Depending upon the size and complexity of the directorate, the records officer may elect to designate more than one office of record/files custodian for the records it holds. **Note:** Joint Staff term; also used throughout this manual to refer to the combatant command equivalent position.

flat file – In electronic records, a simple two-dimensional arrangement of data elements used in data bases to store all necessary descriptive information about the data in a location within the file itself.

flimsy – Discontinued. Formerly used to refer to a written proposal to change a JS action; could be a CJCS, VCJCS, DJS, or VDJS Flimsy; usually prepared by the AO at the direction of the initiator.

form – A document with a fixed arrangement of captioned spaces designed for entering and extracting prescribed information. Categories of forms include internal, interagency, public use, standard, and optional.

format – (1) The shape, size, style, and general makeup of a particular record. (2) In electronic records, the arrangement of data for computer input or output, such as the number and size of data fields in a logical record or the spacing and letter size used in a document. Also called layout.

frozen records – In records disposition, those temporary records that cannot be destroyed on schedule because special circumstances, such as a court order or an investigation, require a temporary extension of the retention period.

function – The characteristic action or purpose of an organization or person.

functional classification – The division of records into categories and subcategories to reflect the programs, activities, and transactions carried out by the organization accumulating the records.

functional requirements – In electronic records, a description of an organization's computer processing needs to fulfill its responsibilities and to support users in performing tasks relating to those responsibilities.

functional specifications – In electronic records, a detailed description of the hardware, software, communications, and human resources needed for an information system to be built, installed, tested, operated, and maintained. Also called specifications.

Future Years Defense Program (FYDP) – The official program, published at least annually, summarizing plans and programs approved by the Secretary of Defense for DOD.

-G-

general correspondence files – Records arranged and filed according to their general informational, or subject, content. Mainly letters and memorandums but also forms, reports, and other material relating to program and

administrative functions, but not to specific cases. Also called central, correspondence, or subject files.

General Records Schedule (GRS) – A NARA-issued schedule governing the disposition of specified records common to several or all Federal agencies.

government information – Information created, collected, processed, transmitted, disseminated, used, stored, preserved permanently, or disposed of by the Federal Government.

Green Directive – Discontinued. A general term for the green-colored papers issued by the Secretary, Joint Staff, for distribution to the Joint Staff, Services, combatant commands, and specified defense agencies referring incoming communications for information, study, guidance, and/or appropriate action.

-H-

hard copy – (1) Recorded information copied from a computer onto paper or some other durable surface, such as microfilm. To be distinguished from a temporary image on a display screen and from the electronic information on a magnetic tape or disk(ette) or in the computer's main memory. (2) Recorded information copied from microfilm onto paper and made readable without a special device. (3) A paper record that may later be filmed or digitized.

hardware – A computer system's physical equipment, including the CPU, control unit, memory, input/output devices, and storage devices.

Headquarters Combatant Command Records Manager – The position designated by the combatant command commander to administer the Combatant Command Records Management Program for all records in the command including records held by subordinate joint elements as defined in paragraph 3.b. of this manual.

hierarchical system – Any classification system in which records are arranged under primary (first-level) categories and then, as necessary, under secondary (second-level) and further subdivisions.

historical value – The usefulness of records for historical research concerning the agency of origin or for information about persons, places, events, or things.

history files – Electronic files copied from inactive master files for long-term or permanent retention.

housekeeping records – Records of an organization that relate to budget, fiscal, personnel, supply, and similar administrative or facilitative operations

normally common to most agencies, as distinguished from program or substantive records that relate to an agency's primary functions.

-I-

image – (1) A representation of information produced by radiant energy such as light. (2) A unit of information, such as a drawing of a page of text. (3) An object's optical counterpart produced by a lens, mirror, or other optical system.

implementer – In general, the memorandum or message needed to carry out a decision. Specifically, the operative portion of a JS action--the elements designed to be forwarded to implement its recommendations.

inactive storage facility (ISF) – General term for any storage facility/space used to house/store inactive records (both permanent and temporary) until the records are eligible for destruction or transfer to NARA. The facility/space can be located within the agency's current files area, but separate from the active files, or it may be an agency records center or holding area, or an FRC.

index – (1) A separate collection of cards, extra copies of documents, cross-reference sheets, or other forms arranged differently from the related record series to make it easier to locate relevant documents. (2) A manual or automated listing arranged differently from a related record series or system to speed retrieval of relevant files.

information – Facts or data communicated or received.

information copy – A nonrecord copy sent to individuals or offices interested in, but not acting on, a matter.

information management – The administration, use, and transmission of information and the application of theories and techniques of information science to create, modify, or improve information handling systems.

information paper – A paper that is used to convey information for the reader's use in preparing for a meeting or briefing.

information resources management – Planning, budgeting, organizing, directing, training, and controlling of the creation, maintenance and use, and disposition of information as well as of related resources or assets, such as personnel, equipment, funds, and technology. Includes data processing, telecommunications and records management.

information system – The organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether

automated or manual. Also called a record system or a system. Most often refers to a system containing electronic records, which involves input or source documents, records on electronic media, and output records along with related documentation and any indexes.

information system architecture – The organizational structure of an information system including necessary application systems, computer equipment, a communications network, and related software.

information system manager – The program official responsible to oversee the creation and use of records in an information system. Also called program manager.

information technology (IT) – Hardware and software used in connection with government information regardless of the technology involved, whether computers, telecommunications, micrographics, or others.

IT manager – The ADP official responsible to oversee the purchase and technical operation of an information system. Also called ADP manager.

informational value – The usefulness of records in documenting the persons, places, things, or matters dealt with by an agency, in contrast to documenting the agency's organization, functions, and activities. Considered by NARA in appraising records for permanent retention.

input – In electronic records, data to be entered into a computer for processing.

input records – Sometimes called source records or source documents.
(1) Non-electronic documents designed and used to create, update, or modify records in an electronic medium. (2) Electronic records containing data used to update a separate computer file.

integration – In electronic records: (1) Combining various pieces of hardware and software, often acquired from different vendors, into a unified system. (2) Combining computer programs into a unified software package so that all programs can share common data.

International Organization for Standardization (ISO) – A standards-setting organization with representatives from many nations.

intrinsic value – In archives administration, the value of those permanent records that should be preserved in their original form rather than as copies.

inventory – (1) A survey of agency records and nonrecord materials conducted primarily to develop records schedules and also to identify various records

management problems such as improper applications of recordkeeping technology. (2) The results of such a survey. (3) In archives administration, a type of finding aid for accessioned permanent records.

item – (1) A document. (2) A separately numbered entry describing records on an SF 115, "Request for Records Disposition Authority." Usually consists of a record series or part of an information system.

-J-

JCS Memorandum (JCSM) – Discontinued. Memorandums by the Joint Chiefs of Staff for individuals or heads of agencies outside the Joint Staff and the Services (e.g., the Secretary of Defense) that normally derived from actions submitted for JCS consideration and were usually signed under the authority line "For the Joint Chiefs of Staff" by the Director or Vice Director, Joint Staff, but sometimes by the Chairman, Joint Chiefs of Staff.

JCS Send – Discontinued March 1990. The sending authority entered on implementing messages issued in the name of the Joint Chiefs of Staff.

J-Directorate Implementing Memorandum (J-#M) – Memorandum from a JS directorate to addressees below Assistant Secretary of Defense level, signed by the J-Director or designate.

J-Directorate Instruction (J-#I) – Publishes policy and guidance of indefinite duration applicable only to the issuing J-directorate. J-#Is will be signed by the appropriate directorate official.

J-Directorate Notice (J-#N) – Publishes policy, guidance or information of a one-time or brief nature applicable only to the issuing J-directorate. J-#Ns have a self-canceling provision and will not remain in effect for longer than 1 year. J-#Ns will be signed by the appropriate directorate official.

Joint Administrative Instruction (JAI) – Discontinued. Directives of a continuing nature prepared by JS directorates and reviewed and published by the Joint Secretariat for the internal management of the joint staff.

Joint Administrative Publication (JT ADM PUB)– Publication of joint interest dealing with administrative matters prepared under the cognizance of JS directorates and applicable to the Military Departments, combatant commands, and other authorized agencies. They are approved for the Chairman, Joint Chiefs of Staff, by the Director, Joint Staff, and distributed through Service channels.

Joint Operation Planning and Execution System (JOPES) – A total system capability to support peacetime, crisis, and wartime planning and execution activities. It supports integrated planning and command and control of mobilization, deployment, employment, and sustainment activities.

Joint Operation Planning System (JOPS) – Discontinued. The system formerly used in planning joint military operations, except for the SIOP. See “Joint Operation Planning and Execution System.”

Joint Publication (JP/JT PUB) – Publications concerning joint doctrine and joint tactics, techniques, and procedures prepared under the cognizance of JS directorates and applicable to the Military Departments, combatant commands, and other authorized agencies. They are approved for the Chairman, Joint Chiefs of Staff, by the Director, Joint Staff, and distributed through Service channels.

Joint Staff (JS [adjective only]) – The Joint Staff is managed by the Director, Joint Staff, and organized along conventional lines to support the Chairman, Joint Chiefs of Staff, in the discharge of his responsibilities; performs duties as prescribed by the Chairman.

Joint Staff corporate records – See “records.” All materials meeting the definition of “records” that are made or received, or signed by or for, the Chairman, Joint Chiefs of Staff; Vice Chairman, Joint Chiefs of Staff; Assistant to the Chairman, Joint Chiefs of Staff; Director, Joint Staff; and Vice Director, Joint Staff, and certain materials meeting the definition of “records” that are made or received, or signed by or for, the Secretary, Joint Staff.

Joint Staff Officer Training System (JSOTS) – Former term for training program for new JS personnel. Currently prescribed by JSI series 1200.01, “Joint Staff Training Program.”

Joint Staff Records Manager – The Chief, Records Management and Automation Support Branch, Information Management Division, Secretary to the Joint Staff; responsible for oversight of the Joint Staff and Combatant Command Records Management Program.

Joint Strategic Capabilities Plan (JSCP) – Provides strategic guidance, including apportionment of resources, to the combatant commanders to accomplish assigned strategic tasks based on military capabilities existing at the beginning of the planning period. The JSCP provides a coherent framework for capabilities-based military advice provided to the President and Secretary of Defense.

Joint Strategic Planning System (JSPS) – Prescribed in CJCSI series 3100.01. The primary means by which the Chairman, in consultation with the other

members of the Joint Chiefs of Staff and the combatant commanders, discharges his responsibility to provide strategic direction to the Armed Forces.

Joint Strategy Review (JSR) – Initiates the strategic planning cycle and is the JSPS process for gathering information, raising issues, and facilitating the integration of the joint strategic, operational planning, and program assessments. Once the process is completed and a document is compiled, the JSR provides the principal guidance and support for developing the CG, CPA, NMS, and JSCP.

JS Form 30, “Joint Staff/Combatant Command Records Management Survey” – Used by Joint Staff and combatant command records management personnel to recommend changes, additions, or deletions to the mandatory disposition standards set forth in Volume II of this manual.

JS Form 31, “Joint Staff/Combatant Command List of Selected File Numbers” – Used by Joint Staff and combatant command records management personnel to identify all records maintained by an office. Provides an at-a-glance summary of the files within a storage cabinet or office area, reflects the location of each category, and contains the disposition instructions for the records.
Note: Combatant commands are authorized to develop equivalent forms for this purpose.

JS Form 32, “Records Management Inspection Checklist” – Used by Joint Staff and combatant command records management personnel in completing the annual files review and conducting periodic inspections and assistance visits.
Note: Combatant commands are authorized to develop equivalent forms for this purpose.

JS Form 48, “Distribution Authorization Sheet” – Used by JS directorates and separate offices to list addressees and numbers of copies of documents to be delivered by the JS Support Services Office.

JS Instruction (JSI) – Contains policy and guidance of indefinite duration applicable only to the Joint Staff; establish and prescribe JS forms. JSIs may be of information to external agencies but will not prescribe requirements for them. JSIs may also implement and supplement DODDs and DODIs for the Joint Staff. JSIs containing policy matters will be signed by the Director, Joint Staff; those involving administrative matters will be signed by the Secretary, Joint Staff.

JS Manual (JSM) – Contains detailed procedures for performing specific tasks that are of indefinite duration and applicable only to the Joint staff. JSMs may supplement JSIs or stand along. JSMs are signed by the Secretary, Joint Staff.

JS Notice (JSN) – Contains policy, guidance, or information of a one-time or brief nature applicable only to the Joint Staff. JSNs have a self-canceling provision and will not remain in effect for longer than 1 year. Notices containing policy matters are signed by the Director, Joint Staff; those involving administrative matters are signed by the Secretary, Joint Staff.

-L-

legal value – The usefulness of records in documenting legally enforceable rights or obligations, those of both the Federal Government and of persons directly affected by the agency's activities.

life cycle of records – The management concept that records pass through three stages: creation, maintenance and use, and disposition.

local area network (LAN)- A system for linking together computers, terminals, printers, and other equipment, usually within the same office or building.

-M-

machine-readable records – Records whose informational content is usually in code and has been recorded on media, such as magnetic disks, drums, tapes, punched cards, optical disks or tapes, accompanied by finding aids known as software documentation. The coded information is retrievable only by machine. See “electronic records.”

macrodata – Aggregated, or summarized, data.

management information system (MIS) – (1) Management aided by ADP. (2) An organization's procedures for accumulating, processing, storing, and retrieving valuable information.

manifold – A paper form consisting of a number of sheets interleaved with carbon paper.

master files – In electronic records, relatively long-lived computer files containing an organized and consistent set of complete and accurate data. Usually updated periodically.

master microform – A microform, usually first-generation or camera film, used to produce duplicates or intermediates.

medium – The physical form of recorded information. Includes paper, film, disk, magnetic tape, and other materials on which information can be recorded.

memorandum – A written communication much like a letter but having no salutation or complimentary ending. Usually used within or between offices of the same organization.

Memorandum for Record (MFR) – Prepared by the responsible individual when a written record of an action, event, or meeting is required or desired for retention and reference.

Memorandum in the Name of the Chairman, Joint Chiefs of Staff (MCM) – Contain instructions or comments based on existing CJCS policy.

Memorandum Issued in the Name of the Chairman, Joint Chiefs of Staff (MCJCS) – Discontinued 1989. Used to issue instructions in accordance with CJCS policies, plans, and procedures.

Memorandum Issued in the Name of the Joint Chiefs of Staff (MJCS) – Discontinued. Formerly used to refer to instructions issued in accordance with the policies, plans, and procedures approved by the Joint Chiefs of Staff.

metadata – A term used to describe or specify characteristics that need to be known about data in order to build information resources, such as electronic recordkeeping systems, and to support records creators and users. In electronic records, metadata is part of a complete, reliable, and authentic record. It provides sufficient information about the context in which the content of a record was created to determine who created the record, under what circumstances, and how the record relates to other records. Also provides information about how the content of the record was structured and how it was accessed.

microcomputer – A very small digital computer able to process and store less data than a minicomputer and far less than a mainframe while doing so less rapidly than a minicomputer and far less rapidly than a mainframe. Includes desktop, laptop, and hand-held models. Also called a personal computer.

microdata – Unaggregated, or unsummarized, data.

microfiche – A card-sized transparent sheet of film with miniaturized images (microimages) arranged in a grid pattern. Usually contains a title readable without a magnifying device. Sometimes abbreviated as fiche.

microform – Any form containing greatly reduced images, or microimages, usually on microfilm. Roll, or generally serialized, microforms include microfilm on reels, cartridges, and cassettes. Flat, or generally unitized,

microforms include microfiche, microfilm jackets, aperture cards, and microcards (micro-opaques).

micrographics – A records management technology using microforms to reduce storage space, provide portability to large quantities of paper, or to assist automated retrieval systems.

micro-imaging systems – Systems constituting a bridge between traditional microforms and electronic records. Include stand-alone micrographics, computer-assisted retrieval (CAR), computer input microfilm (CIM), computer output microfilm (COM), electronic microimage transmission, and optical disk systems. Also called image processing or image management systems.

migration – In electronic records, the process or result of moving files from one computer system to another.

mnemonic filing system – A classification system in which records are coded by symbols to remind the user of the subject; for example, COM for communications and PER for personnel. These symbols are usually arranged alphabetically.

-N-

National Archives – See “archives.”

National Archives Form 14028, “Information System Description” – An electronic records inventory form that may be used to provide the necessary data for NARA's initial appraisal of agency information systems not covered by the GRS.

National Archives Form 14097, “Technical Description for Transfer of Electronic Records to the National Archives” – A form that may be used to provide information to accompany the transfer of permanent electronic records to the National Archives. This information was formerly provided on the SF 217, “Computer Magnetic Tape File Properties,” which has been discontinued.

National Military Strategy (NMS) – A document that provides the advice of the Chairman, in consultation with the other members of the Joint Chiefs of Staff and the combatant commanders, to the President, NSC, and Secretary of Defense as to the national military strategy and fiscally constrained force structure required to support attainment of national security objectives during the defense planning period covered by the next DPG. The NMS is also provided to the Secretary of Defense for consideration during the preparation of the DPG.

National Technical Information Service (NTIS) - An agency of the Department of Commerce that functions as the central source for sale of scientific, technical, engineering, and related business information by or for the U.S. Government. Provides distribution of publications, audiovisuals, and computer products; offers specialized IT information and support services, electronic and multimedia production services, and audiovisual services.

noncurrent records - Records no longer required to conduct agency business and therefore ready for final disposition.

nonpermanent records - See "temporary records."

nonrecord copy - See "nonrecord materials."

nonrecord materials - U.S. Government-owned documentary materials excluded from the legal definition of records or not meeting the requirements of that definition. Include extra copies of documents kept only for convenience of reference, stocks of publications and of processed documents, and library or museum materials intended solely for reference or exhibition. Also called nonrecords.

nonrecords - See "nonrecord materials."

nontextual records - A collective term usually applied to electronic, audiovisual, cartographic, remote sensing imagery, architectural, and engineering records, in contrast to manuscript and typescript paper records.

numeric filing system - Any classification system in which numbers are assigned to main divisions and subdivisions and the records are arranged accordingly.

numeric-alphabetic filing system - A classification system in which numbers are assigned to main divisions and letters and numbers to succeeding subdivisions and the records are arranged accordingly. For example, "1" might stand for "administration," "1C" for the subdivision "personnel," and "1C4" for the further subdivision "retirement."

-O-

OF - See "Optional Form."

OF 11, "Reference Request - Federal Records Centers" - A form a Federal agency may use to obtain reference service for records it has stored in an FRC.

offer – A term formerly used to describe the act of requesting NARA's one-time approval of the immediate transfer of unscheduled records to the National Archives ("direct offer") or the act of initiating the transfer to the National Archives of records already scheduled as permanent ("scheduled offer"). Direct offers have been discontinued, and scheduled offers are now called scheduled transfers.

office automation – The use of automated or electronic equipment, such as computers, for office operations.

Office of Management and Budget (OMB) Circular No. A-130, "Management of Federal Information Resources" – An OMB issuance establishing policy for the management of Federal information resources, including records.

office of record – The office within a directorate/separate office/activity that is designated by the directorate records officer as responsible for the custody, maintenance, and retirement or disposal of the records it holds. Depending upon the size and complexity of the directorate, the records officer may elect to designate more than one office of record for the records it holds.

official files – See "records."

official record copy – See "copy," definition (1), and "records."

official records – See "records."

On file in J-# (directorate) – A footnote used in joint actions to indicate that the document referred to is held in the action directorate's files and not in the official JS corporate record files in IMD, OSJS.

On file in Joint Secretariat – A footnote used in joint actions to indicate that the document referred to is held in the official JS corporate record files of IMD, OSJS.

operating system – In electronic records, software directing a computer's operation.

Operations Deputies (OpsDepts) – The OpsDepts consist of the Director, Joint Staff, and a three-star general or flag officer appointed by each of the Chiefs of the Services. They are designated representatives of the Joint Chiefs of Staff.

optical character recognition (OCR) – A method of entering data into a computer by using an optical scanning device to read the document contents.

optical disk – A noncontact, random-access disk typically tracked by optical laser beams and used for mass storage and retrieval of generally digitized text and graphics. Sometimes called an optical digital disk or optical digital data disk. Types include WORM, CD-ROM, CD-I, and erasable optical disks.

Optional Form (OF) – A form developed by a Federal agency for use by two or more agencies and approved by GSA for non-mandatory use throughout the U.S. Government.

oral history materials – All documents, regardless of media, relating to interviews conducted expressly for historical purposes by, or on behalf of, an agency.

output – In electronic records, information transmitted from internal to external units of a computer or to an outside medium.

output records – In electronic records, information generated by a computer and placed on an outside medium such as paper, microform, or an electronic storage medium.

-P-

permanent records – In U.S. Government usage, records appraised by NARA as having enduring value because they document the organization and functions of the agency that created or received them and/or because they contain significant information on persons, things, problems, and conditions with which the agency dealt.

personal papers – Papers created solely at the discretion and for the convenience of the author, not as a part of JS/combatant commander official records preserved as evidence of decisions and policies. Examples of personal papers include, but are not limited to, diaries, logs, calendars, and personal notes.

Planner's Memo – A memorandum from a Service planner addressed to the JS Director with copies to the other Services submitting comments on or recommending changes to a joint action. The Planner's Memo provides the formal Service position on a joint action and rationale.

position paper – A paper used to provide rationale to support a decision or position the reader should take.

Planning, Programming, and Budgeting System (PPBS) – The system of procedures for review and approval of changes to the Future Years Defense Program. Prescribed by CJCSI series 8501.01 (formerly JCS MOP 136).

program records – Records created or received and maintained by an agency in the conduct of substantive functions for which it has responsibility. The term is used in contrast to housekeeping records.

project file – See “case file.”

proprietary information – Information owned by a business organization.

public records – (1) In general usage, records accumulated by Government agencies. (2) Records open to public inspection by law or custom.

publications – Documents printed or otherwise produced for wide distribution inside or outside an agency. Include annual reports, brochures, pamphlets, posters, books, handbooks, and maps. Also include instructional and informational materials in audiovisual form. According to 44 U.S.C. 1901, a U.S. Government publication is "informational matter which is published as an individual document at government expense, or as required by law."

-R-

reading files – Outgoing correspondence records arranged chronologically rather than by subject. Sometimes called chronological or day files.

record components – In records disposition, those elements of audiovisual, microform, and certain other special records needed for long-term preservation and required or requested when permanent records are transferred to the National Archives. Also called record elements. For example, record components for color photographs include the original color transparency or color negative, a captioned print, and an inter negative if one exists.

record copy – The file copy created by the action office, complete with coordination, enclosures, or papers related to the action. Such copies are to be specifically identified as the record copy by the creating office.

record group – A body of organizationally related records established by an archival agency after considering the organization's administrative history and complexity and the volume of its records. NARA uses record group numbers to keep track of agency records during and after the scheduling process, including those transferred to FRC and/or the National Archives.

record layout – In electronic records, a diagram or list of the contents of a logical record describing each data field's informational content, length, and position.

record series – File units or documents arranged in accordance with a filing system or maintained as a unit because they relate to a particular subject or function, result from the same activity, have a particular form, or because of some other relationship arising out of their creation, receipt, or use.

recorded information – Information placed on a medium, such as paper, computer disk, or microform, to be available for later retrieval and use.

recording density – In electronic records, the number of bits in a single linear track per unit of length of a recording medium. For example, 6250 bpi.

recordkeeping – The act or process of creating and maintaining records. Assumes the need for their proper disposition.

recordkeeping requirements – Statements in statutes, regulations, or agency directives providing general and specific guidance on records to be created and maintained by an agency. Since each agency is legally obligated to create and maintain adequate and proper documentation of its organization, functions, and activities, it needs to issue recordkeeping requirements for all activities at all levels and for all media and to distinguish records from nonrecord materials and personal papers.

recordkeeping system – See “filing system.”

records – According to 44 U.S.C. 3301, the term "includes all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included." Also called Federal records, which exclude Presidential records and records of the U.S. Congress.

records center – A facility for the low-cost storage and servicing of records pending their disposal or transfer to the National Archives. Includes NARA authorized agency records centers and NARA-operated FRC.

records control schedule – See "records schedule."

records creation – The first stage of the records life cycle in which records are made (or received) by an office.

records creation and maintenance program – Policies and practices designed to ensure the creation and preservation of complete and accurate records documenting agency business and furnishing information necessary to protect legal and financial rights. Essential elements include assigning and coordinating program responsibility; issuing directives regarding agency recordkeeping requirements; involving records management personnel in the development or revision of agency programs, systems, and procedures; providing adequate training; and preparing to develop and implement records schedules.

records maintenance and use – Any action involving the storage, retrieval, and handling of records kept in offices by or for a Federal agency. This is the second stage of the records life cycle.

records management – The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records to achieve adequate and proper documentation of Federal policies and transactions and effective and economical management of agency operations. Also called records administration.

records management program – A planned, coordinated set of policies, procedures, and activities needed to manage an agency's recorded information. Encompasses the creation, maintenance and use, and disposition of records regardless of media. Essential elements include issuing up-to-date program directives, properly training those responsible for implementation, publicizing the program, and carefully evaluating the results to ensure adequacy, effectiveness, and efficiency.

records manager – The person assigned responsibility by an agency head for oversight or administration of an agency-wide records management program. (See also “Headquarters Combatant Command Records Manager” and “Joint Staff Records Manager.”)

records officer – The individual responsible for records management within a directorate, separate office, or other Joint Staff activity; designated by the Joint Staff director or head of the separate office or activity. **Note:** Joint Staff term; also used throughout this manual to refer to the combatant command equivalent position.

records retention and disposition schedule – See "records schedule."

records retention schedule – See "records schedule."

records retirement – See "retirement."

records schedule – A document providing mandatory instructions for what to do with records (and nonrecord materials) no longer needed for current Government business, with provision of authority for the final disposition of recurring or nonrecurring records. Also called records disposition schedule, records control schedule, records retention schedule, and disposition schedule, or schedule. Includes the SF 115, GRS, and agency records schedule, which, when completed, becomes a comprehensive records schedule that also contains agency disposition instructions for nonrecord materials.

reference copies – Organized collections of records used for ready reference when the official, record copy is maintained elsewhere. See "information copy."

report – A narrative, statistical, graphic, or other account of operations, conditions, or plans that is recorded on any medium for submission by one person, office, or organization to another.

repository – See "depository."

research value – The usefulness of records for research by the Government, business and other private organizations, and by scholars in the humanities, social and physical sciences, administration, and other disciplines.

retained records – In NARA's usage, older records in an agency's custody that are scheduled as permanent but overdue for transfer to the National Archives.

retention period – The length of time records are to be kept.

retention schedule – See "records schedule."

retention standard – See "retention period."

retirement – The transfer of records to agency storage facilities or an FRC.

rights-and-interests records – That type of vital records essential to protecting the rights and interests of an organization and of the individuals directly affected by its activities.

-S-

safety film – A relatively nonflammable film base that meets ANSI criteria for safety photographic film.

sampling – Selection for retention of part of a body of similar records to serve as a representation of the whole body. Usually associated with scheduling case files.

scanning – In electronic records, the process of converting alphanumeric or graphic information on paper or microforms to picture elements or bit-mapped representation. Also called image scanning.

schedule – See "records schedule."

schedule instructions – See "disposition instructions."

scheduled records – Records whose final disposition has been approved by NARA.

scheduled transfer – The act or process of moving permanent records to the National Archives for preservation as authorized by a NARA-approved records schedule and as implemented by NARA's approval of an agency-submitted SF 258 and receipt of the records. Formerly called a scheduled offer.

scheduling – The process of developing a document that provides mandatory instructions for what to do with records (and nonrecord materials) no longer needed for current Government business.

Secretary's Memorandum (SM) – Issued by the Secretary, Joint Staff to:
(1) Forward approved directives of the Chairman, Joint Chiefs of Staff, within the Joint Staff and to the Services and combatant commands. (2) Assign actions or transmit instructions or information within the Joint Staff and to the Services and combatant commands.

semicurrent records – Records required so seldom to conduct agency business that they should be moved to a holding area or directly to a records center.

series – File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. Also called a record series or a file series. Generally handled as a unit for disposition purposes.

Service Memorandum – A formal, serially numbered memorandum (CSAM, CNOM, CSAFM, or CMCM) by the Chiefs of the Services presenting problems, information, comments, or recommendations to the Joint Staff.

SF – See "Standard Form."

SF 115, "Request for Records Disposition Authority" – The form used by Federal agencies to obtain disposition authority from NARA for records to which the GRS are inapplicable.

SF 135, "Records Transmittal and Receipt" – The form submitted by agencies to an FRC before transferring records there.

SF 217, "Computer Magnetic Tape File Properties" – Discontinued. See "National Archives Form 14097, 'Technical Description for Transfer of Electronic Records to the National Archives.'"

SF 258, "Agreement to Transfer Records to the National Archives of the United States" – The form used by Federal agencies to transfer legal custody of permanent records to the National Archives.

software – The programs, procedures, and rules used to operate a computer.

sorting – In files management, the process of separating records into groups for filing according to a classification system.

source documents – Documents containing images and/or data entered into a microform or electronic records system. Also called source records.

Special Category (SPECAT) messages – Deal with specific projects or subjects requiring special handling procedures supplemental to the security classification to ensure that the message is handled and viewed only by properly cleared and authorized personnel.

special records – Types of records maintained separately from textual/paper records because their physical form or characteristics require unusual care and/or because they have nonstandard sizes. Include electronic, audiovisual, microform, cartographic and remote-sensing imagery, architectural and engineering, printed, and card records.

staging area – See "holding area."

Standard Form (SF) – A form prescribed by a Federal agency and approved by GSA for mandatory use throughout the U.S. Government.

stock copy – An extra copy of printed records or of other published materials.

stock footage – Unedited motion picture film or videotape of scenery and action that is retained for future use.

subject classification system – A plan used for identifying and coding documents by topic to provide an orderly and accurate way of filing and finding. Examples include alpha-numeric, alphabetic-subject, decimal, duplex-numeric, mnemonic, and subject-numeric.

subject files – See "general correspondence files."

subject outline – In files management, a list of topics arranged hierarchically (i.e., by primary, secondary, tertiary, and quaternary topics) and serving as the source for selecting file designations for arranging or classifying the documents of a subject file. Normally includes file codes.

subject-numeric filing system – A subject classification system in which the main topics are arranged alphabetically and the subdivisions are coded numerically. For example, "Personnel 8" might stand for "Hours of Duty." This system may be modified by combining it with the mnemonic filing system so that, for example, "Personnel 8" would become "PER 8."

supporting attachments – The parts of a JS action used to present background material and/or Service statements of non-concurrence and placed after the implementing attachment(s).

suspense files – Files arranged chronologically to remind officials of actions to be completed by a specific date. Also called follow-up files or tickler files.

-T-

talking paper – A short paper written in telegraphic style and for use when the reader will be required to speak on a specific subject. It states the thrust of an action or lists major issues in logical sequence.

technical reference files – Nonrecord copies of articles, periodicals, reports, studies, vendor catalogs, and similar materials that are needed for reference and information but are not properly part of the office's records.

telecommunications – The preparation, transmission, communication, or related processing of information by electrical, electromagnetic, electromechanical, or electro-optical means.

temporary records – Records approved by NARA for disposal either immediately or after a specified retention period. Also called disposable records or nonpermanent records.

text documents – In electronic records, narrative or tabular documents such as letters, memorandums, and reports that are organized in a loosely prescribed form and format.

textual records – The term usually applied to manuscript and typescript paper records, as distinct from electronic, audiovisual, cartographic, remote-sensing imagery, architectural, and engineering records.

tickler file – A file arranged by date to facilitate selection of records for disposal when they become due.

transfer – (1) The act or process of moving records from one location to another, especially from office space to agency storage facilities or an FRC, from one Federal agency to another, or from office or storage space to the National Archives for permanent preservation. (2) The records involved in such a relocation.

transitory correspondence files – Correspondence relating to matters of short-term interest, such as acknowledgments of publications received, routine inquiries for publications, and announcements of savings bond campaigns, in contrast to administrative and program correspondence making up the general correspondence files. Also called transitory files.

Treaties and Other International Acts Series (TIAS) – A numbering system used to identify such treaties and acts and to locate them in repository holdings.

turnkey system – In electronic records, a computer system that is ready to run, typically with all necessary software already installed.

unscheduled records – Records whose final disposition has not been approved by NARA.

-U-

use copies – Duplicates of a magnetic master or of original film that are prepared for use as reference copies or as duplication masters for recurring or large-scale duplication. Also called work copies. To be distinguished from preservation master copies, which, if the records are permanent, must be stored under archival conditions and cannot be used for reference purposes.

user guide – In electronic records, a package of descriptive and technical documentation prepared for use with a data file.

-V-

valid transaction files – In electronic records, files containing new data to be processed together with master files to create updated master files. Also called transaction files or detail files.

videodisk – A disk on which pictures or pictures and sounds are recorded and stored as analog signals.

vital records – Records essential to the continued functioning or reconstitution of an organization during and after an emergency and also those records essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities. Sometimes called essential records. Include both emergency-operating and rights-and-interests records. Vital records considerations are part of an agency's records disaster prevention and recovery program.

-W-

Washington National Records Center (WNRC) – A records storage facility operated by NARA for housing and servicing non-current records of the Government.

Wide Area Network (WAN) – A system for linking together computers, terminals, printers, and other equipment that are located in extensively separated offices or buildings.

word processing (WP) – Creating and modifying documents by using a computer along with other hardware and related software.

work copies – See "use copies."

work files – In electronic records, temporary files in auxiliary storage. Sometimes called working files.

working files – Documents such as rough notes, calculations, or drafts assembled or created and used to prepare or analyze other documents. Also called working papers.

working papers – See "working files."

Write Once Read Many (WORM) – Of or relating to a type of optical disk on which information can be recorded only once but from which it can be retrieved and read many times.

-Y-

Yellow Bullet – Discontinued October 1989. The JS Action Directive on yellow paper that formally assigned an action to and within a directorate or office and requested that coordinating directorates and or offices provide their AO's names and telephone numbers to the primary AO. Used when no Service coordination was desired. If Service coordination was needed, the directive was prepared on blue paper and known as a Blue Bullet.

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